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## Studie af Monitorering af Udviklingsprojekter

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**Studie af  
Monitorering af Udviklingsbistandsprojekter  
Fase 1.**

**Marts, 1991.**

**Henrik A. Nielsen.**



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Nærværende studie er blevet gennemført for Danida's Evalueringsenhed i henhold til opgavebeskrivelse, gengivet i anneks 27. Studiet er udført i kombination med et forskningsprojekt, støttet af Ulandsforsknings-rådet.

Konsulenten ønsker at udtrykke sin tak til alle officielle og individuelle personer, som har bidraget, for deres venlige støtte og værdifulde information, som i høj grad muliggjort studiet.

Rapporten indeholder forfatterens synspunkter, som ikke nødvendigvis er sammenfaldende med Danida's. Denne version er et udkast, som forelægges Evalueringsenheden ultimo marts 1991.

## SAMMENDRAG

Nærværende studie udgør fase 1 af en opgave, der sigter på at forbedre monitoreringen (overvågningen) af Danida's udviklingsaktiviteter, især med henblik på i højere grad at opnå de langsigtede målsætninger, og for at forbedre monitoreringsindsatsen, både med hensyn til Danida's administration, og for at forøge modtagerlandenes kapacitet.

Specifikt er målene at udvikle nye tilgange og indikatorer for monitoreringen af opnåelse af bæredygtighed, mobilisering af landenes egne resourcer og folkelig deltagelse samt af spredningseffekten for bistandsindsatsen. Ved sammenligning af Danida's tilgange og metoder med andre donorer, og ved at analysere, hvorledes retningslinjerne for tilbagemelding til modtagerlandenes administrationer og donorerne faktisk bliver virkeliggjort i løbet af projektperioderne, og måske senere, skal monitorerings'værktøjerne' blive forbedret.

Fase 1 er baseret på litteraturstudier, interviews og gennemgang af sagsakterne for et antal udvalgte cases. Der præsenteres en analyse af den anvendte monitorering, herunder benyttede indikatorer, begrebsmæssigt såvel som faktisk praksis blandt en række hoveddonorer, samt den feltmæssige anvendelse ved 8 Danida-projekter i 5 lande, hvor vandforsyning, sanitet og egnsudvikling udføres. Den begrebsmæssige diskussion og beskrivelsen af monitoreringspraksis for andre donorer er skildret i detaljer i anneks 2-3, mens Danida's gældende retningslinjer for monitorering og procedurer er analyseret i afsnit 1. Afsnittet følges op af en opstilling af en ideal-model for monitorering af udviklingsbistandsprojekter i afsnit 2, og af forslaget til opgavebeskrivelse for feltundersøgelsen i afsnit 3. Den konkrete analyse af de 8 udvalgte projekter er anført i detaljer i anneks 5-14, mens tilhørende eksempler på databaser, formater for rapportering og indikatorer er gengivet i anneks 15-24.

I det følgende er studiets hovedresultater resumeret:

### 1. Begrebsmæssig placering af monitorering.

Det er tydeligt, at 'monitorering' som begreb er under forandring. Der stilles i stigende grad spørgsmåltegn både fra forskere og i donor-miljøet ved den sædvanlige position, hvorefter monitorering defineres som et relativt snævert ledelsesværktøj alene i funktion indenfor en projektperiode. De langsigtede behov for information, især med hensyn til områder som bæredygtighed, lokalsamfunds engagement, resource mobilisering, etc., tvinger donorerne til en mere fleksibel opfattelse af monitoreringen, og som konsekvens heraf er deres procedurer under udvikling.

Det fremhæves f.eks. således, at de fleste projekter har virkninger, som går udover deres formelle levetid. Alligevel ophører de fleste monitorerings-og vurderingsaktiviteter, når projektet fuldføres. Hvis bæredygtighed er af betydning, må

fortsættelse af positive projektaktiviteter udover projektets levetid blive en målsætning, og tilpasninger i monitorerings-og vurderingsaktiviteten må nødvendigvis foretages.

Med udgangspunkt i de sundhedsmæssige følger af overrislingsprojekter har Dr. Mary Tiffen, ODI, således formuleret retningslinjer for et fælles WHO/FAO/UNEP.panel, og herunder introduceret et nyt, udvidet syn på begrebet 'projekt-cyclen'. Herefter er projektfasen 5-10 år, fulgt af en operationel fase (inklusiv vedligeholdelse og monitorering) på 20-50 år. Det understreges, at det er vigtigt, at de monitorerings-teknikker, og den informationsbase, der er bygget op i løbet af implementeringen, overføres fra projektmyndigheden til ministerierne eller andre organisationer, som overtager videreførelsen, og at det sikres, at de nødvendige økonomiske midler hertil er tilstede i form af bevillinger eller indtægter, både i gennemførelses-og operationel fase.

Hidtil har en efterfølgende evaluering været opfattet som redskabet til den ønskede påvisning af projektresultaterne. Imidlertid er det af flere grunde ikke tilstrækkeligt. For det første er det kun i et meget begrænset antal tilfælde (måske 5 %), at en egentlig post-projekt evaluering overhovedet gennemføres (d.v.s. mindst 3 år efter afslutningen af et projekt). For det andet er det både teoretisk og i praksis uhyre vanskeligt at udføre en evaluering mange år efter afslutningen af et projekt uden at en monitorering til at fremskaffe den information, der kan udgøre en ubrudt dataserie, har været løbende gennemført frem til evalueringstidspunktet. Endelig og væsentligst, er det af afgørende betydning for den lokale myndighed, der søger at videreføre projektresultaterne, at en fortsat monitorering giver mulighed for at følge og evt. justere udviklingen.

Dermed er den anden tendens i debatten trukket frem: den institutionelle ramme for monitoreringen og evalueringen er under forandring eftersom det erkendes, at behovet for at opretholde monitoreringssystemerne efter færdiggørelsen af projektet primært er et behov for de lokale myndigheder og projektbenyttere, snarere end et behov for de forskellige donorer (med hver deres egne målsætninger og procedurer).

- Det centrale spørgsmål kan derfor formuleres således: - hvorledes kan monitoreringen selv gøres bæredygtig, d.v.s. hvorledes kan de monitoreringssystemer, der etableres i løbet af projektets gennemførelsesfase, opretholdes bagefter, så systemernes resultater og den indsamlede information kan være til gavn for de lokale myndigheder, organisationer og målgruppen? Hermed bliver træningen af counterparts og inddragelse af de ordinære, permanente procedurer vital for videreførelsen af overvågningen, og donorernes indsats må tilrettes tilsvarende.

## 2. Indikatorer som led i monitoreringen.

Med en bredere begrebsmæssig forståelse af monitoreringen, og et ændret institutionelt udgangspunkt, kan spørgsmålet om indikatorer i almindelighed behandles. Også på dette område er en mere fleksibel holdning nødvendig. Introduktionen af den logiske

projektramme tilgang (Logical Framework Approach-LFA) har understreget behovet for målsætning og resultatmåling på alle de forskellige niveauer. Samtidigt er det blevet klart, at generelle standarder (d.v.s. ens for alle typer projekter) især ikke kan benyttes for de langsigtede mål, men at indikatorer må udarbejdes ved den konkrete planlægning for hvert specifikt formål, og tillige for hvert enkelt projektområde. Selvom mål og indikatorer måske kan identificeres på det nationale plan, er det nemlig ikke sikkert at de også findes tilsvarende på det lokale plan. De eksempler, som er angivet i dette studie, er således alene medtaget af pædagogiske grunde, og til inspiration.

De særlige indikatorer for bæredygtighed, folkelig deltagelse og spredningseffekt, er alle her illustreret fra vandforsynings-og sanitetsaktiviteter. Defineres 'bæredygtighed' som 'evnen til at opretholde indsats og afledte goder, både ved det lokale og organisationsmæssige niveau, uden skadelige effekter på miljøet, efter at den ledelsesmæssige, finansielle og tekniske bistand er udfaset', bliver etableringen af en problemløsende kapacitet i lokalsamfundet og hos folk central. Måling af opretholdelse af faciliteternes funktioner er således ikke tilstrækkelig. Både dynamiske og statiske tiltag må medtages. Eksempler på indikatorer omfatter derfor også 'selvtillid og selvopfattelse' (for individer i lokalsamfundet og i organisationer), og 'systemer for indlæring og problemløsning'.

'Folkelig deltagelse' må opfattes ikke blot som en håndgribelig virkning af udviklingsprojekter, men som en abstrakt kvalitet ved de processer, der gennemgås af de involverede parter i forbindelse hermed, og som løber over tid. Eftersom det på forhånd kan være vanskeligt at forudsige resultatet eller virkningerne af disse processer, bliver målingen af dem meget vanskelig. Både kvantitative og kvalitative indikatorer kan indgå (se Anneks 22), som f.eks. 'ratio af gruppemedlemskab i forhold til lokalbefolkningen' og 'uafhængige handlinger foretaget af gruppen'. Afgørende er det, at folkelig deltagelse ikke blot kan checkes af som et endeligt resultat, men processerne må monitoreres løbende. Monitorering er derfor fremstået som nøglen til evaluering af folkelig deltagelse, og den eneste måde at sikre en konstant strøm af relevante data på.

Endelig kan 'spredningseffekten' defineres som 'evnen til at duplikere processerne og goderne fra et sæt af udviklingsaktiviteter i nye omgivelser, efter at deres effektivitet er blevet demonstreret indenfor et begrænset geografisk område'. Projekter kan gennemløbe tre stadier: 'pilot', 'demonstration' og 'spredningsstadiet', hver på f.eks. distrikts-, regional-og nationalt niveau. Eksempler på indikatorer kan indenfor spørgsmålet om administrative procedurer være 'generelle retningslinjer med vægt på interaktiv planlægning og gennemførelse', 'fremkomst af standardprocedurer for projekt/programledelse' og 'simplificerede procedurer' for henholdsvis pilot-, demonstrations-og spredningsfasen.

Det anbefales, at eksempler på indikatorer indenfor de enkelte spørgsmål (bæredygtighed, folkelig deltagelse og spredningseffekt) indsamles fra de relevante sektorer fra forskellige projekter til træningsbrug og til inspiration for planlægning.



I alle tilfælde bør de respektive planlæggere dog udforme specifikke indikatorer konkret for hvert projekt, og for hvert projektområde.

### 3. Andre donorerers praksis.

De fleste donorer bruger idag en form for logisk projektramme tilgang (LFA) til at forberede projektaktiviteter og design systematisk. Imidlertid er indikatorer som oftest ikke beskrevet specifikt nok, og det er sjældent, at fremgangsmåderne til verifikation er mere end intentioner eller antagelser om tilgængeligheden af det konkrete materiale. Manglende overvejelse af fremgangsmåderne til at belyse indikatorerne, især når det gælder de mere langsigtede målsætninger, og med specifik relevans for det konkrete projektområde, kan derfor være årsag til, at monitoreringen ikke gennemføres eller overhovedet iværksættes. Det anbefales derfor, at der lægges særlig vægt på dette spørgsmål i den fremtidige Danida-planlægning, og at forslag til indikation for opnåelse af udviklingsmålsætninger checkes for de særegne træk gældende for det konkrete projektområde.

Etablering og brug af en computeriseret databank over alle projekter, indeholdende central information i sammendrag, er et nyttigt redskab for sagsbehandlere, tekniske rådgivere og projektledelse hos mange donororganisationer, især i forbindelse med rotation af medarbejdere. Hertil kommer, at erfaringer fra især NORAD peger på, at en fast rutine med lokalt arrangerede review-møder på missionsniveau med oplæg fra projektets rutinemæssige monitorering er en fleksibel og understøttende bistand til modtagerlandets myndigheder. Det anbefales, at Danida overvejer sådanne tiltag for at forbedre oversigten over de løbende projektaktiviteter.

Institutionaliseringen af monitoreringen indenfor modtagerlandene, og efter afslutningen af donorerens projektindsats, modvirkes af de fleste donorerers udtrykte behov for at være ansvarlige for supervision og ledelse, hvadenten det er eksplicit formuleret eller ligger implicit i gennemførelsen af aktiviteterne. Støtte til post-projekt monitorering, og simple, cost-effektive, og lokale systemer for løbende monitorering kan imidlertid fremme institutionaliseringen af monitoreringen, som f.eks. UNDP gør det. Det anbefales, at Danida også støtter sådanne ordninger, som i særlig grad vil forøge bæredygtigheden af de frembragte projektresultater.

### 4. Analyse og konklusioner fra 8 case-studier.

De udvalgte Danida-projekter sigter på at illustrere (ikke repræsentere) retningslinjer, praksis og modvirkende faktorer ved monitoreringsprocessen, som den faktisk foregår for tiden. Halvdelen af projekterne er således blevet iværksat indenfor de sidste fem år, mens de øvrige er ældre projekter, der stadig er igang, og som er blevet reviewet eller evalueret fornylig. Udvælgelsen er iøvrigt foretaget udfra kriterier som organisatorisk ramme, aktivitetsindhold og geografisk dækning. En række analytiske spørgsmål er formuleret og søgt besvaret for

hvert projekt: monitoreringssystemet i almindelighed ved det konkrete projekt, fremdriftsrapporteringen, monitorering af effekter og langtidsvirkninger, benyttelse af indikatorer, Danida's follow-up og institutionalisering af monitoreringen. For case-studiernes metodologi henvises iøvrigt til Anneks 5.

De foreløbige konklusioner, alene baseret på aktstudierne, viser, at etableringen af velfungerende monitoreringssystemer tager tid, i særdeleshed fordi baseline studier så ofte er forsinket eller ikke bliver gennemført. Generelt er det kun i 3 ud af de 8 cases, at velfungerende monitoreringssystemer er etableret. Fremdriftsrapportering synes at fungere i halvdelen af projekterne, men af forskellig kvalitet. Indtrykket af effektmonitoreringen er ret nedslående, eftersom det kun er i 1-2 tilfælde sådanne systemer er gennemført. Det er en hovedkonklusion, at problemet øjensynlig ikke ligger i at designe gode indikatorer, men i at organisere fremgangsmåderne til verifikation af dem.

Måling af udviklingsmålsætningerne, d.v.s. langtidsvirkningerne, er blevet skitseret i halvdelen af projekterne, men kun forsøgt i et tilfælde. Det anbefales, at flere kræfter sættes ind på dette område, og at simpel, cost-effektiv, lokalt baseret dataindsamling fremmes. Benyttelse af indikatorer aftager i takt med at målsætningsniveauet tidsmæssigt øges. Specifikke indikatorer for bæredygtighed, folkelig deltagelse og spredningseffekt er ikke blevet designet for projekterne. Det foreslås, at anbefalingerne anført i dette studie gennemføres på eksperimental basis for nogle af de analyserede projekter med særlig reference til de respektive projektområder.

Danida's opfølgen kan forbedres, hvis de hyppige besøg lægges efter en fast plan, og såfremt afholdelse af årlige/halvårlige møder lokalt for hvert projekt bliver institutionaliseret på missionsniveau (i lighed med NORAD/SIDA's fremgangsmåde). Det ses endeligt, at det kun er for halvdelen af projekterne, at træning af den lokale stab eller landsbyboere i monitorering har fundet sted, og i intet tilfælde har en modtagerorganisation endnu overtaget monitoreringsfunktionen.

Det konkluderes generelt, at det tilsyneladende er projekternes alder og størrelse, der er afgørende for, om monitoreringssystemerne er velfungerende, snarere end den organisatoriske ramme (d.v.s. om det er et Danida-styret projekt, NGO-styret eller virksomhedsdrevet). Imidlertid er tiltag til systemer, forankret i lokalsamfundet eller en modtagermyndighed, nyligt blevet designet, men endnu ikke gennemført, for nogle af projekterne. Det anbefales, at de mange innovative mekanismer og ideer fra andre donorer kan støtte op om denne udvikling.

## 5. Gældende Danida-retningslinjer for monitorering.

Udkast til retningslinjer for monitorering blev udfærdiget i 1987, og projektrapporteringen er ifølge dette udkast baseret på fremdriftsrapporterne fra Danida's egne rådgivere, mens den projektbærende organisation tildeles en informationsmodtagende rolle. Udkastet er imidlertid forblevet et udkast.

Organisationshåndbogen for Danida fra 1990 beskriver rollefordelingen mellem evalueringsenheden, landekontorerne og de sektorfaglige kontorer i København samt bistandsmissionerne i modtagerlandene. Skønt mange har ansvar for at overvåge, at føre tilsyn med eller endog at monitorere, er det dog ikke entydigt indenfor organisationen, hvem der faktisk udfører disse opgaver, og hvori de mere detaljeret består, især m.h.t. langtidsvirkningerne. Monitorering i den operationelle fase og post-interventionsperioden er ikke omtalt. Generelt gælder, at forholdet til den projektbærende organisation kun i ringe grad er berørt.

Ved udarbejdelse af Retningslinjer for Evaluering og håndbogen for Logical Framework Approach/LFA er monitoreringsopgaverne blevet klargjort i stort omfang. Præcisering af mål og målsætninger på de forskellige niveauer, og fastlæggelse af indikatorer i planlægningsfasen er forudsætninger for, at fremdrift og udvikling overhovedet kan overvåges. Derimod står spørgsmålet om hvem, der skal udføre monitoreringen stadig tilbage.

Med Retningslinjer for projektafslutningsrapporter fra 1989 er der samtidigt taget skridt til, at overgangen fra implementeringsfase til operationel fase bliver markeret tydeligt, og at betingelserne og behovene for støtte klargøres. Det er imidlertid også her en svaghed, at det er TA-medarbejderne eller den udenlandske TAP, der ifølge retningslinjerne skal udarbejde projektafslutningsrapporten, og ikke den projektbærende organisation. Samme indvending kan rettes imod rapporten fra Ad-hoc gruppen vedrørende udlicitering af projektgennemførelse og det seneste udkast til Retningslinjer for projektgennemførelse.

Generelt er Danida's retningslinjer for monitorering af bistandsaktiviteterne blevet forbedret i den seneste tid, men holdningen til det dobbelte formål (donorens projektgennemførelse og modtagerens videreførsel) har stadig en stærk bias imod donorens bagland. Der er behov for en øget forståelse for, at en effektivt gennemført monitoreringsstøtte (f.eks. træning, holdningsbearbejdning, logistisk og budgetmæssig støtte) til de lokale projektbærende organisationer dels vil forbedre deres udviklingsfremmende arbejde, dels vil gøre Danida's informationsopgave til den danske offentlighed meget lettere.

## 6. Model for Danida's monitorering.

I afsnittet opstilles en ideal model for monitorering af et Danida-støttet udviklingsprojekt (med vandforsyning-og sanitet som eksempel), som forsøg på at formulere en standard for specifikke overvejelser i den konkrete situation.

Som udgangspunkt fastsættes de behov, som et monitoreringssystem skal indfri. Et monitoreringssystem opfattes som en systematisk frembringelse af den bedst mulige information om udviklingsprocessens forløb, og en løbende kommunikation af den frembragte viden i målrettet form til de parter, der har brug for den. Monitoreringen vil således foregå på forskellige niveauer omfattende de centrale beslutningstagere, de decentrale beslutningstagere, de lokalt projektansvarlige samt målgruppen og den bredere offentlighed. Den vil også foregå ud fra forskellige



synsvinkler, nemlig donorens og modtagerens, med deraf følgende forskellige konsekvenser for opfattelse af monitoreringens udførelse.

Overvågningen skal tilvejebringe en række typer af information, kvalitativt såvel som kvantitativt, og tildels i form af indikatorer. Det drejer sig om den fysiske gennemførelse af aktiviteterne, den økonomiske styring, den faktiske udnyttelse af de tilvejebragte forhold, problemer ved gennemførelse eller operation samt langtidsvirkningerne af aktiviteterne. Endelig stilles der forskellige krav til informationsbehovenes tidsdimensioner og detaljeringsgrad.

Modellen for fremskaffelse af informationen bygger generelt i videst muligt omfang på den almindelige forvaltning. Både den fysiske fremdrift og den økoniske styring baseres på månedlige indberetninger fra de ordinære implementerende medarbejdere. Disse indberetninger suppleres med spot-checks, udført af særligt trænede projektmedarbejdere, for at sikre pålideligheden af de afgivne data, opfange evt. problemer ved gennemførelsen og for at studere kvaliteten af det udførte arbejde. Det er en vigtig opgave for Danida at sikre, at sådanne særligt, gennem lang tid uddannede monitoreringsmedarbejdere, efterfølgende kan tilknyttes de lokale myndigheder eller organisationer.

Monitorering af effekterne, d.v.s. benyttelsen af outputs, må derimod i første række hvile på indsamling af oplysninger fra brugerne. Et simpelt system foreslås, hvor et par landsbyboere regelmæssigt indberetter, aflæser målinger, etc., i samarbejde med projektorganisationens monitoreringsmedarbejdere. Overvågning af langtidsvirkningerne kan også bygge på et sådant system, men må suppleres med overordnede indikatorer fra lokalt tilgængelig distriktsstatistik, som indhentes (ofte afhentes) løbende.

Endelig er det meget væsentligt i løbet af en projektperiode at træne de medarbejdere, som selvstændigt skal videreføre aktiviteterne, i bearbejdning og analyse af de fra felten fremskaffede data. Det vil normalt påhvile et relativt lille, men centralt placeret kontor i den projektbærende organisation at udføre denne opgave samt at udarbejde de rapporter, som monitoreringssystemet er leverandør af.

I afsnittet er givet eksempler på indholdet af den information, som for vand-og sanitetsprojekter vedrører den fysiske fremdrift, økonomistyringen, benyttelse af output, problemopfangningen samt langtidsresultaterne, og i forhold til hvilke enheder eller planer, en analyse bør foretages.

Kommunikationen af den analyserede information skal målrettes til modtagerne. En standard herfor kan være: kvartalsrapport til brug for de lokale projektbærende administratorer med totalmonitorering af fremdrift, økonomistyring, output-benyttelse, spot-checks og langtidsvirkninger. Akkumuleres i årsrapport, som benyttes som udgangspunkt for årligt review-møde for de decentrale beslutningstagere. Mødet afgiver indstilling om rammerne og målene for de kommende års aktiviteter. Et sammendrag af årsrapporten fremsendes til de centrale beslutningstagere. Endelig kan korte notitser udarbejdes til top-ledelse, ligesom informationsmed-

delelser bør udformes til den lokale målgruppe og til den danske offentlighed.

### 3. Feltmæssig afprøvning af modellen.

I det afsluttende afsnit er udfærdiget forslag til opgavebeskrivelse for den feltmæssige afprøvning af monitoreringsmodellen under to geografisk og socialt forskellige sæt betingelser. Dels i Tanzania med vægten lagt på monitorering af fremdrift og effekter ved vandforsynings-og sanitetsprojekter, og dels i Bangladesh med vægten lagt på monitorering af effekter og langtidsvirkninger ved egnsudviklings-og vandforsyningsprojekter.

## 1. GÆLDENDE DANIDA-RETNINGSLINJER FOR MONITORERING.

I dette afsnit vil den eksisterende rollefordeling og kompetence i forbindelse med monitoreringen af de Danida-støttede bilaterale udviklingsaktiviteter blive behandlet. Ved gennemgang af udstukne retningslinjer og administrative procedurer vil et aktuelt billede blive tegnet, i det mindste af den formelle situation. Sammen med analysen af de udvalgte case-studier giver det anledning til at stille centrale spørgsmål som: - hvilket monitoreringsbegreb anvendes af Danida? - hvem er ansvarlig for den løbende monitorering af projekter på deres forskellige stadier? - og hvilken rolle har de enkelte aktører i organisationen? På baggrund af de fundne svar kan der herefter opstilles konstruktive forslag til forbedring af den eksisterende situation. Dette vil blive gjort i Afsnit 2.

### 1.1. Udkast til retningslinjer for monitorering.

Som så mange andre donorer er Danida stadig i en proces med at definere monitoreringen som begreb, og med at udstikke retningslinjer for dens rette anvendelse. I november 1987 blev udkast til Project Guidelines for Monitoring and Evaluation rundsendt til høring. Monitorering var herefter defineret i henhold til den traditionelle opfattelse som 'den løbende indsamling og analyse af information om faktisk input, aktiviteter og output, og sammenligning heraf med projektplanlægningens tidsmæssige indplacering, kvalitet, kvantitet og omkostninger'. Monitoreringen blev anset for 'en integreret projektaktivitet og en væsentlig del af god ledelse' (Danida, 1987, s.1.).

Det centrale punkt i monitoreringen af projekt-output er Danidamissionen/København, endskønt det 'ofte udøves som kollektiv problemløsning' mellem modtagerlandet og Danida. Men det understreges, at Danida må være i stand til at informere Styrelsen, Folketinget, regeringen og offentligheden om, hvad der opnås med udviklingsbistandens midler. Redskabet for monitoreringen er de kvartalsrapporter, som produceres enten af en chefrådgiver/projektkoordinator eller af den individuelle rådgiver, fortrinsvis til brug for sagsbehandlerne på missionen eller i København. Vurderingen af de lokale myndigheder i modtagerlandet, som måske kan være 'andre brugere', er ret skeptisk: 'de bør være i det mindste lige så velinformeret som Danida, og ofte er (Danida's, konsulentens bemærkning) fremdriftsrapporter den eneste pålidelige information, de modtager om projektgennemførelse'. Imidlertid er ovennævnte udkast til retningslinjer for monitoreringen ikke længere aktuelt, idet det er forblevet et udkast. Spørgsmålet er dog, om den opfattelse af informationsniveau, roller og mål for monitoreringen, som er indeholdt heri, stadig er gældende?

## 1.2. Organisationshåndbogen.

Danida's Organisationshåndbog fra 1990 beskriver arbejdsgangene for administrationen af udviklingsbistanden. I henhold hertil må det antages, at DS.3, Evalueringsenheden, udstikker generelle retningslinjer for monitoreringen, skønt det ikke er eksplicit formuleret. Eftersom kontorets støtte 'omfatter udarbejdelse af retningslinjer for den samlede projektcyklus og behandling af gennemgående projektfaglige emner som institutionel udvikling, vedligeholdelse, projektplanlægning, m.v.' indbefatter det sandsynligvis også monitorering. (Danida, 1990a, s.19). Men det er i sig selv ret forbavsende, hvor sjældent selve ordet monitorering (engelsk: monitoring) anvendes i denne manual, især i den positive, støttende form, hvorimod der oftest bruges ordet overvågning (engelsk: supervision), forstået som kontrol-formen.

Det påhviler ligeledes dette kontor at etablere en projektdatabank (placeret i dokumentationscentralen), i hvilken de vigtigste oplysninger om alle igangværende Danida-støttede projekter EDB-registreres. (samme, s.24).

Landekontorerne (DB.1, DB.2 og DB.3) har det overordnede projektadministrative ansvar i forbindelse med gennemførelsen af den bilaterale projektbistand. 'Der kan skelnes mellem udførende funktioner (hvor kontoret har ansvaret) og deltagende, overvågende og rådgivende funktioner.' (s.46). Det er her uklart, hvem der faktisk har ansvaret for overvågningen, især hvis der sammenlignes med funktionsbeskrivelserne i det følgende for kontor-og sektionschefer, og med matrix 6, hvor overvågning af daglig operativ ledelse, udarbejdelse af arbejdsplaner og projektrapporter er henlagt til missionen, mens overvågning af økonomistyring og regnskaber foretages af landekontoret. Der er tydeligvis tale om en prioritering af økonomisiden, og ikke om overvågning af effekter eller langtidsvirkninger: 'Generelt har kontoret en overvågende rolle, d.v.s. har ret og pligt til at gribe ind, hvis det skønnes nødvendigt. Dette gør sig f.eks. gældende ved udarbejdelse af operationsplan, indkøb af projektudstyr eller styring af projektets økonomi og regnskabsaflægelse'.

Indenfor landekontoret er det præciseret, at landekontorchefen varetager 'den centrale overvågning af projektforløbet' (s. 60), og herunder bl.a. er 'ansvarlig for fastlæggelse af landekontorets særlige rapporteringsbehov fra bistandsmissionen i forbindelse med det ledelsesmæssige overvågningsansvar', og for 'overvågning af projektgennemførelsen og -afslutningen' (s. 62). Tilsvarende er landesektionschefen ansvarlig (over for kontorchefen) for 'økonomisk og resultatmæssig overvågning af projektbistanden', og han/hun 'forestår planlægning og overvågning (her engelsk: monitoring!) af projekter, herunder kontorets samarbejde med missionens projektadministrator' (s. 64). Som nævnt er denne tekstbeskrivelse ikke i overensstemmelse med matrix 6, der beskriver projektgennemførelsen, hvorefter f.eks. det centrale redskab projektrapporter udarbejdes af chefrådgiver/rådgiver, kommenteres (d.v.s. overvåges) af missionen og teknisk vurderes af det sektorfaglige kontor.

De sektorfaglige kontorer (DB.4/5) har ansvar for den faglige



tilrettelæggelse og gennemførelse af de bilaterale bistandsaktiviteter. Det fremgår af matrix 3 og 11, at kontorerne har den meget væsentlige opgave at udarbejde skitse til monitorerings- og rapporteringssystemer i forundersøgelsesfasen. 'Når bistandsaktiviteterne er sat i værk, følger DB.4/5 i nødvendigt omfang aktiviteterne på grundlag af projektrapportering og gennem review-missioner'. (s. 50). Det kan dog undre, at kontorerne i de lande, hvor der ikke findes en bistandsmission, udover som normalt teknisk at vurdere projektrapporterne, tillige ifølge matrix 14 er tillagt den opgave selv at udarbejde dem (hvor det ellers er chefrådgiver/rådgiverens opgave).

Forholdet mellem landekontor og bistandsmission er også m.h.t. monitorering ofte uklart. Mens landesektionschefen er 'ansvarlig for at kontrollere og vurdere de rapporterede projekresultater samt projektafslutningen i forhold til den gældende bistandsstrategi (landeprogram) og de givne projektforsætninger (bevillingsgrundlaget), herunder at drøfte afvigelser med missionens projektadministrator' (s. 66), er det generelt bistandsmissionens opgave 'at formidle (engelsk: administer) den danske udviklingsbistand .. for såvidt angår identifikation, forberedelse, gennemførelse, overvågning (engelsk: monitoring) og evaluering af danskstøttede aktiviteter' (s. 68), og mere specifikt (s. 72): 'Ansvar for den danske bistands gennemførelse. Dette indebærer tilsyn (engelsk: supervision) ved regelmæssige besøg ved de enkelte projekter og løbende kontakt med modtagerlandets myndigheder'. Det nævnes også, at missionen skal udarbejde statusrapporter, omend formålet, frekvens og modtager heraf ikke er specificeret. Muligvis er det oplæg til årsforhandlinger (som nævnt i matrix 2), der tænkes på.

Funktionsbeskrivelsen for missionschefen tillægger denne 'det overordnede tilsyn med Danida-støttede bistandsprojekter' (s. 86), mens projektadministratoren 'varetager den daglige administration af de Danida-støttede projekter i samarbejde med modtagerlandets myndigheder samt den økonomiske styring og det løbende tilsyn med igangværende projekter' (s. 90). Bortset fra den sjældent medtagne formulering 'i samarbejde med modtagerlandets myndigheder', er disse beskrivelser tilsyneladende til dels overlappende eller i modstrid med beskrivelserne for landekontorets medarbejdere.

Sammenfattende kan det konkluderes, at skønt mange ifølge Organisationshåndbogen har ansvar for 'at overvåge', 'at føre tilsyn med' eller endog at 'monitorere', er det ikke entydigt indenfor organisationen, hvem der faktisk udfører disse opgaver, og hvori de mere detaljeret består. Dette gælder især med hensyn til de ikke-økonomiske projekresultater og langtidsvirkningerne. Det er endelig en vigtig observation, at ingen tilsyneladende er udpeget til at monitorere projekterne i deres operationelle fase, for slet ikke at tale om post-interventionsperioden, således som det er tilfældet for UNDP's Resident Representative. Generelt er forholdet og ansvarsfordelingen til den projektbærende organisation kun i ringe grad berørt.

### 1.3. Retningslinjer for evaluering.

De reviderede Retningslinjer for Evaluering definerer indikatorer som 'objektive og specifikke mål for projektræsultaterne. Indikatorer for output er normalt simple (f.eks. antal enheder produceret, personer trænet eller vaccinationer gennemført). Anvendelsen af indikatorer for opnåelse af målsætninger, d.v.s. udviklingseffekter og langtidsvirkninger .., vil imidlertid være temmelig kompliceret og bekostelig, hvis overhovedet muligt. I sådanne tilfælde må der anvendes kvalitative og knap så objektive vurderinger'. Denne beskrivelse er problematisk på flere måder. Konsekvensen heraf, nemlig at output-indikatorer normalt er kvantitative, og at effekt/langtidsindikatorer normalt er kvalitative, er ikke alment gyldig. Der er heller ikke nødvendigvis sammenfald mellem kvantitativ måling og objektiv vurdering. Faktisk er indikatorer overhovedet ikke objektive og specifikke mål for projektræsultater. Derimod er en 'indikator' alene, hvad ordet præcist siger, en 'retningsviser' eller en pil, der udstikker den vej, som projektræsultaterne antagelig følger.

I mange tilfælde vil eksisterende statistiske data ikke være tilstrækkelige eller til rådighed for evalueringsmissionen. Baseline data eller monitoreringen har måske heller ikke været effektiv. I sådanne tilfælde er det meget værdifuldt, at evalueringen, som angivet i retningslinjerne, påviser hvorledes den løbende dataindsamling kan forbedres for at fremme fremtidige evalueringer. (s.9). Det understreger den tætte forbindelse mellem monitorering og evaluering. For mange projekter vil evalueringsrapporten være det grundlag, som fremtidige operationelle faser bygger på.

### 1.4. Den logiske projektramme tilgang (LFA).

Også for Danida er den logiske projektramme tilgang (Logical Framework Approach/LFA) nu et almindeligt værktøj til planlægningen. Det vil naturligvis tage nogen tid før alle igangværende projekter har en udarbejdet matrix at monitorere og evaluere efter, men allerede ved mange reviews bliver der gjort en indsats for at korrigere og opdatere ældre projektdokumenter.

- En vis uklarhed er imidlertid indbygget i Håndbogen for LFA med hensyn til tidsfastsættelse af de umiddelbare mål (engelsk: immediate objectives), deres verifikation ved indikatorer og monitoreringen. Såfremt de umiddelbare mål skal angive, hvilke effekter projektet vil opnå indenfor sin levetid (vol.I, s.7), og indikatorer er 'redskaber til nærmere afklaring og mere præcis definition af hovedsagelig målsætninger og outputs', 'som skal fremvise resultater og tjene som basis for monitorering' (vol.II, s.10), altså uden tidsmæssig begrænsning, rejser spørgsmålet om fortsat post-projekt monitorering eller alternativt lade effekterne være umonitored. Det ville måske være en klarere definition at udelade de umiddelbare mål, og alene bruge begreberne output (projektræsultat/produktion) og målsætninger på mellemlangt sigt (engelsk: intermediate objectives).

Generelt er spørgsmålet om, hvem der skal udføre monitoreringen og fremgangsmåder til verifikation kun behandlet i mindre omfang.

### 1.5. Retningslinjer for projektafslutningsrapporter.

Retningslinjer for projektafslutningsrapporter blev udstedt i 1989 med henblik på en gradvis start med 2-3 rapporter fra hvert modtagerland indenfor det følgende halvår. Retningslinjerne må anses for at være et nyttigt bidrag til at udfylde en væsentlig mangel ved det nuværende monitoreringssystem, og gennemførelse heraf vil utvivlsomt være en forbedring. For det første tvinger det de respektive kontorer til at overveje, hvorvidt aktiviteter må betragtes som afsluttet eller ej. For det andet retter det søgelyset mod betingelser og behov for støtte i den efterfølgende operationelle fase, og det tydeliggøres, at ansvaret for evt. opfølgende indsatser ligger hos Danida-missionen. Endelig vil projektafslutningsrapporterne i deres helhed udgøre et betydningsfuldt materiale til generelt at opsamle Danida's erfaringer, og til at give et overblik over de gennemførte bistandsaktiviteter, som hidtil har været savnet.

Nogle kritiske bemærkninger kan anføres. Det indebærer et betydeligt risikoelement at undlade at udarbejde en projektafslutningsrapport i de tilfælde, hvor en efterfølgende fase af det samme projekt er under planlægning, idet det netop er i den iøvrigt typiske flydende situation af mulig forlængelse, at projektafslutningsrapporten kan gøre gavn. Og såfremt undtagelsen opretholdes, vil mange projekter sandsynligvis ikke udarbejde en sådan rapport. Det er endvidere grundlæggende en forkert strategi at overlade udarbejdelsen til 'de medarbejdere, der har været involveret i projektgennemførelsen' underforstået TA-medarbejdere eller endog expatriate-TAP, mens 'modtagerlandets (ansvarlige) myndigheder bør inviteres til at kommentere rapporten, da den måske kan være til gavn i den fortsatte projektgennemførelse eller ved udbredelse af projektet' (Danida, 1989b, s.4).

Det tilrådes, at projektafslutningsrapporterne opbevares ikke alene sektorvis, men med mulighed for krydshenvisninger landevis, organisationsmæssigt, etc. i Danida's dokumentationscentral. Det vil naturligvis være oplagt at gøre rapporten til en integreret del af Danida's projektdatabase, så erfaringerne fra de afsluttede projekter opsamles her, hvor søgemulighederne er optimale.

Endelig bør formatet for rapporten indeholde ikke bare oplysning om behov for yderligere analyse, som foreslået, men om mulighederne for fortsat post-projekt monitorering, d.v.s. hvilke typer information vil blive indsamlet og analyseret af hvilke kontorer eller personer, og om behovet for løbende dataindsamling. Alene herved at der en mulighed for at sikre et overblik over hvilke indikatorer, fremgangsmåder til verifikation og data, der kan virke som input til kommende post-projekt evalueringer.

### 1.6. Udlicitering af projektgennemførelse.

En rapport fra Ad-hoc gruppen vedrørende udlicitering af projektgennemførelse af april 1990 understreger bl.a. behovet for monitorering, og fremhæver, 'at analysen af outputs og relaterede indikatorer er af special vigtighed, når det drejer sig om et projekt, der skal udliciteres, eftersom outputs beskriver de



resultater, som administratoren af projektet skal bedømmes efter' (Danida, 1990, s.7). Det bør tilføjes, at det ikke alene er indikatorerne for outputs, men også for effekterne og langtidsvirkningerne, som er vigtige.

Det projektadministrerende firma skal fremsende kvartalsrapporter til Danida og modtagerlandet som beskriver projektgennemførelsen sammenholdt med handlingsplanen. Disse rapporter skal være baseret på det aftalte monitoreringssystem, og indeholde de data, der er indsamlet for indikatorerne, inklusive effekter og langtidsvirkninger. Dette er naturligvis især vigtigt i de tilfælde, hvor baseline studier endnu ikke er gennemført. Som det fremgår af analysen af de anførte cases kræver det en særlig indsats fra Danida (landekontoret eller det sektorfaglige kontor) at sørge for, at mere end standard fremdriftsrapportering udarbejdes løbende.

### 1.7. Retningslinjer for projektforbereelse.

Retningslinjer for projektforbereelse blev udarbejdet i 1985 af Danida, og er nu under revision. Ifølge det foreløbige udkast af december, 1990, er det dog stadig en meget snæver opfattelse af monitorering, der er indeholdt heri. Definitionsmæssigt refereres alene til projektledelse og aftaleparter som informationsmodtagere (altså ikke lokale myndigheder eller projektets målgruppe), og indholdsmæssigt til informationsbehandling vedrørende inputs, aktiviteter, strategier og outputs, men ikke mellem- eller langsigtede målsætninger.

Hertil kommer, at der stadig eksisterer en blandet holdning til det dobbelte monitoreringsformål: altså af hensyn til donorens projektgennemførelse, eller af hensyn til modtagerens videreførsel? Det pointeres således, at det er 'den projektbærende lokale organisation', der er ansvarlig for monitoreringen, men resultatet angives at være den fremdriftsrapport, som af Danida's chefrådgiver/rådgivere udarbejdes i henhold til 'Danida's Retningslinjer for Rapportering af september, 1986'. Endelig angives det, at fremdriftsrapporterne skal vurderes af sagsbehandleren på bistandsmissionen/alternativt i landekontoret, - og altså intet om en evt. fælles behandling sammen med modtagerlandets myndigheder. (Danida, 1990b, s.38).

Det foreslås, at retningslinjerne for projektforbereelse m.h.t. monitorering ændres således, at informationsbehandlingen omfatter alle niveauer i LFA-matrixen, at det er den lokale projektbærende organisation, der er den reelt ansvarlige for udarbejdelse af projektrapportering, gerne i form af rapporter, der iøvrigt indgår i modtagerlandets ordinære administrative procedurer, og at vurdering af projektgennemførelsen foretages ved fælles review-møder, regelmæssigt afholdt (f.eks. årligt) på missions/ansvarligt ministerie-niveau (følgende NORAD/SIDA-mønsteret).



### 1.8. Opsummering.

En række lovende skridt er i den seneste tid blevet taget med hensyn til at forbedre retningslinjerne og procedurerne for Danida's monitorering af bistandsaktiviteterne. Imidlertid er der behov for, at retningslinjer specifikt for monitorering udstikkes, og for at Organisationshåndbogens afsnit herom tydeliggøres og opdateres. For begges vedkommende bør sigtet være at støtte og forbedre de modtagende lokale myndigheders indsats for at monitorere deres egne udviklingsprojekter. Såfremt sådan støtte, der bl.a. må omfatte træning, holdningsbearbejdning, logistiske og evt. budgetmæssige ydelser i begrænset omfang, lykkes, og de lokale myndigheder dermed producerer tilfredsstillende information, vil behovet for Danida som bistandsorganisation at følge projektgennemførelsen og post-projekt resultaterne nøje naturligvis blive tilsvarende formindsket. Den information, som nødvendigvis må gives til den danske offentlighed, vil dermed også være meget lettere tilgængelig.

I det følgende afsnit søges konklusionerne fra gennemgangen af de gældende retningslinjer benyttet til at besvare hovedspørgsmålene:

- hvad er formålet med et monitoreringssystem?
- hvorledes fremskaffes informationen?
- hvorledes kommunikeres den?
- hvorledes udnyttes den, og af hvem?

Svarene på spørgsmålene indgår i en ideal modelopstilling for Danida's monitorering af bistandsaktiviteter. Som eksempel er benyttet vandforsynings- og sanitetsprojekter.

## 2. MODEL FOR DANIDA'S MONITORERING.

I det følgende opstilles en 'ideal' model for monitorering af et Danida-støttet udviklingsprojekt, med vandforsynings-og sanitetsprojekter som eksempel. 'Ideal' forstået som en model, der generelt søger at formulere de behov, som et overvågningssystem skal indfri, og de måder til verifikation, som optimalt indfrier informationsbehovene. Det er klart, at der i de konkrete projekttilfælde vil være afvigelser herfra, og at det specifikke monitoreringssystem skal udformes under hensyn til de gældende lokale omstændigheder som projektudforming, organisationsforhold, kulturelle og sociale forhold, ressourcer, projektområdets vilkår, etc. Men modellen kan opfattes som et forsøg på at formulere et udgangspunkt eller standard for sådanne specifikke overvejelser.

### 2.1. Hvilke behov skal et monitoreringssystem indfri?

Monitorering kan opfattes som en overvågning af udviklingsprocessen med henblik på at få information om, hvorledes den forløber. Overvågningen kan give anledning til at der gribes ind for at ændre i processen, eller til at der søges fremskaffet yderligere information for nøjere at belyse nogle forhold. Afgørende er, at monitorering bør betragtes som en positiv støtte til udviklingsprocessens forløb, så man i en åben atmosfære tilvejebringer information herom til de flest mulige, fremfor som en kontrol eller tilsynsfunktion, der alene er forbeholdt nogle få. Kun herved får man faktisk den optimale og kvalitativt bedste viden fremskaffet.

Et monitoreringssystem frembringer på systematisk måde den bedst mulige information om udviklingsprocessens forløb, og kommunikerer løbende den frembragte viden i målrettet form til de forskellige parter, der har brug for den. Monitoreringen vil således foregå på forskellige niveauer, og udfra forskellige synsvinkler. Og den vil omfatte forskellige typer viden, samt forskellige tidsdimensioner.

Overvågningens niveauer kan principielt omfatte:

- centrale beslutningstagere:
  - Danida's ledelse
  - landekontoret i Danida
  - sektorfaglige kontor
  - modtagerlandets Finans/Planlægningsministerium
  - modtagerlandets Indenrigs/Lokalstyre-ministerium
- decentrale beslutningstagere:
  - Danida's bistandsmission (projektstyringsenhed)
  - modtagerlandets fagministerium (f.eks. Vand-)
  - (inkl. evt. projektorganisation)
- lokal projektansvarlig:
  - regionale lokalmyndigheder
  - regionale vandmyndigheder
  - Danida's TAP eller firma-ansatte

- målgruppen:

landsbybeboere  
lokale vand-medarbejdere

Hertil kommer den bredere offentlighed, specielt i Danmark, som har financieret det meste af udviklingsaktiviteterne.

Monitoreringssystemet skal forsyne de enkelte niveauer med relevant viden, d.v.s. den skal omfangsmæssigt, indholdsmæssigt og m.h.t. form og sprog målrettes til modtagerne.

Overvågningens synsvinkler er forskellige. Hovedsynsvinklerne for de, der er ansvarlige for gennemførelsen, kan angives således: Donoren (Danida) ser forløbet af udviklingsaktiviteterne som et projekt, der gennemføres indenfor en afgrænset tidsperiode og med finansielle midler, der er bevillingsmæssigt rammebelagt til netop dette formål. Monitoreringsindsatsen vil derfor i projektfasen lægges på etablering og indøvning af systemer, der giver overblik over projektgennemførelsen, men som kan fungere videre senere. Modtageren vil derimod se aktiviteterne som en udvidelse af noget formentlig allerede eksisterende, der skal videreføres på et forbedret niveau som en ordinær aktivitet i princippet i uendelig tid. Dette skal efter projektfasen ske med reducerede midler, evt. med lokale finansielle tilskud/indtægter, der har mange, alternative anvendelsesmuligheder. Monitoreringsindsatsen må således indordnes efter de permanente, ordinære procedurer (evt. i forbedret udgave), og med begrænsede omkostninger.

Samtidigt kan der ses et vist sammenfald i synsvinklen for de egentlige opdragsgivere, nemlig den danske offentlighed, og de, som udviklingsaktiviteterne skulle komme tilgode, d.v.s. målgruppen de lokale landsbybeboere. Begge parter er interesseret i information, der kan belyse, om bistanden faktisk når frem til målgruppen, og i hvilken grad, den fører til langsigtet forbedring af leveforholdene for dem. Monitoreringsindsatsen må set herudfra kunne belyse resultaterne på både kort-og langt sigt, men med størst vægt på langtidsvirkningerne.

Overvågningen skal indholdsmæssigt levere forskellige typer af information. Kvalitativt og kvantitativ viden, herunder i form af indikatorer, skal tilvejebringes om følgende forhold:

- fysisk gennemførelse af aktiviteterne, d.v.s. om de planlagte materielle og immaterielle indsatser er gennemført som aftalt,
- økonomisk styring af aktiviteterne, d.v.s. om budgetter og bevillingsforudsætninger er overholdt,
- faktisk udnyttelse af de tilvejebragte og forbedrede forhold, d.v.s. om målene for udviklingsaktiviteterne er opfyldt,
- problemer ved gennemførelsen eller i den operationelle fase skal opfanges, f.eks. med hensyn til miljøpåvirkning, uforudsete virkninger, etc.
- langtidsvirkninger af de gennemførte aktiviteter, d.v.s.

om de overordnede målsætninger er nået.

Endelig skal overvågningen bidrage til, at informationsbehovene ved forskellige tidsdimensioner og detaljeringsgrader opfyldes:

- for de lokalt projektgennemførende stilles krav om detaljeret viden om alle aktiviteter så hurtigt som muligt, d.v.s. minimum kvartalsvis fuld rapportering om fremskridt, problemer, m.v.,
- for de decentrale beslutningstagere er det nødvendigt at have overblik over hovedlinjer i udviklingen løbende, d.v.s. årlig rapportering om fremskridt og effekter,
- for de centrale beslutningstagere er det væsentlige at vide, om projektet som helhed forløber i den rigtige retning, d.v.s. årligt sammendrag af hovedresultater m.h.t. fremskridt, effekter og langtidsvirkninger, og
- for målgruppen stilles krav om helt specifik viden om den lokale aktivitets forløb, og om helt overordnet indsigt i projektet, d.v.s. en løbende, problembaseret tilbagemelding om den lokale aktivitet, og en generel information om projektet.

For tilbagemeldingen til den danske offentlighed behøves tillige generel information om projektets effekter og langtidsvirkninger.

I de følgende afsnit skal en model for fremskaffelse af informationen (fremgangsmåder til verifikation), for indholdet af informationen (inklusive indikatorer), og for kommunikation af den tilvejebragte viden opstilles.

## 2.2. Hvorledes fremskaffes informationen?

Monitorering af den fysiske fremdrift skal i videst muligt omfang udformes som en del af den almindelige forvaltning eller levering af serviceydelser. For at dække alle aktiviteter ved alle lokaliteter, og for at gøre det til en standardrutine fremover, bør det være de permanente feltarbejdere, der sammen med f.eks. tekniske tilsyn eller landsbybesøg iøvrigt også rapporterer om fremdriften i udviklingsaktiviteterne. Konstruktion og andre engangsaktiviteter i forbindelse med projektgennemførelse kan naturligvis tillige rapporteres af de projektansatte. Rapporter om fysisk fremdrift bør leveres på månedlig basis til det kontor i den projektbærende organisation, f.eks. den regionale vandingeniør eller lokalmyndighed, der skal aggregere de indsamlede data regionalt, og formidle dem til det kontor, der centralt i den projektbærende organisation (f.eks. i Vandministeriet eller Indenrigsministeriet) skal udforme den kvartalsvise monitoreringsrapport.

Overvågning af den økonomiske styring foretages på grundlag af indberetninger fra de forskellige regnskabsansvarlige, både permanente medarbejdere og projektansatte. Det er et centralt princip, at de fysiske og de finansielle aktiviteter skal kunne sammenholdes, så grundlaget for regnskabsrapporteringen skal være



sammenfaldende i så høj grad som muligt med aktivitetsbeskrivelserne, de geografiske afgrænsninger, periodisering, etc. Månedlig regnskabsaflæggelse foretages til den regionale regnskabsfører, som aggregerer oplysningerne, og formidler dem til det centrale økonomikontor i den projektbærende organisation. Herfra overføres økonomioplysningerne til det kontor, der udfærdiger den kvartalsvise monitoreringsrapport.

Det er af væsentlig betydning, at den rutinemæssige indsamling af fremdrifts- og økonomidata suppleres med spot-check, d.v.s. at der regelmæssigt på nogle få udvalgte lokaliteter i felten, f.eks. landsbyer og distriktskontorer, på stikprøvevis efterprøves nogle af de afgivne oplysninger. Hermed sikres pålideligheden, kvaliteten af det udførte arbejde kan studeres, og man kan ved interviews med målgruppen, fysiske eftermålinger, etc., søge at opfange eventuelle problemer ved gennemførelsen. Vanskeligheden ved spot-checking er at finde de rigtige medarbejdere, d.v.s. folk, der er fuldt troværdige, har lokalt kendskab (f.eks. sprogligt) og professionelt dygtige, til denne opgave, og træne dem i at gøre det på en afbalanceret måde, d.v.s. både indhente de ønskede data, og undlade at fremstå alene som ledelsens kontrollanter. En model er at tilknytte gode kandidater i projektperioden fra lokalområdet til en central monitoreringsenhed, træne dem i løbet af projektgennemførelsen (over 5-10 år), og herefter efter aftale med lokalmyndigheden lade dem permanent ansætte i relevante planlægnings- og monitoreringsfunktioner på distrikts- eller regionsniveau. Sådant ansættelsesaftale kan være led i Danida's støtte til den efterfølgende operationelle fase.

Monitorering af effekterne af udviklingsaktiviteterne, d.v.s. benyttelsen af outputs, må i første række hvile på indsamling af oplysning fra brugerne, d.v.s. landsbyboerne. Et simpelt system, hvor f.eks. 2 beboere (1 kvinde og 1 mand) fra nogle udvalgte (illustrative) lokalområder eller landsbyer mod en besked en honorering løbende med aftalt frekvens indsamler observationer fra faktisk brug af vandforsyningssteder, aflæser måleudstyr, indhenter information fra små, strukturerede interviews med nogle øvrige landsbyboere, etc., kan sammen med regelmæssige (månedsvise) instruktive tilsyn og afhentning af de indsamlede data f.eks. af de i forrige afsnit nævnte 'monitoreringsmedarbejdere', og med oplysninger fra den ordinære forvaltning, give en løbende oversigt over effekternes udvikling på en cost-effektiv, hurtig og pålidelig måde. Særlige studier, udført af f.eks. lokale konsulenter eller universitetsinstitutter, kan også supplere et sådant system, men da de er af engangskaraktér, vil de sjældent kunne beskrive udviklingen over tid.

Overvågningen af langtidsvirkningerne, d.v.s. om de langsigtede målsætninger er opnået, kan principielt foregå på samme måde som monitoreringen af effekterne. Imidlertid vil langtidsvirkningerne være af mere general og abstrakt karakter, f.eks. forbedring af sundhedsforholdene, nedsættelse af tidsforbruget til vandforsyning, og ændringer i vandforbrugs- og sanitetsvaner, som yderligere på sigt skulle give forbedrede levevilkår, forøget landbrugsproduktion, etc. Information fra de lokale landsbyer skal derfor sammenholdes med mere overordnede indikatorer fra den tilgængelige distriktsstatistik for sundhedsforhold, demografisk udvikling, landbrugsproduktion, o.s.v. Aftaler om levering af

sådanne oplysninger, eller faktisk afhentning fra de relevante myndigheder, skal derfor iværksættes. Totalt set er det teoretisk vanskeligt at påvise årsagssammenhængene, og det kræver en langsigtet vedholdenhed at opnå tilstrækkelige data for et kunne tegne et pålideligt billede af udviklingen. Men som påvist ovenfor, er det netop viden om de langsigtede resultater, der er mest afgørende og påkrævet. Ved udformning af monitoreringssystemet bør fremgangsmåderne til verifikation af data for langtidsvirkningerne, og specifikation af information til fremtidige evalueringer derfor altid præciseres.

Data til monitoreringen skal ikke blot fremskaffes fra felten, men også bearbejdes og analyseres. Det er en helt central træningsopgave for ethvert projekt i løbet af gennemførelsesfasen at uddanne de medarbejdere, der skal overvåge udviklingsaktiviteterne både i denne fase og senere. I så høj grad som muligt bør det være fastansatte tjenestemænd i den ordinære forvaltning, der varetager bearbejdningen og analysen af de indkomne data samt udfærdiger monitoreringsrapporterne. Forsåvidt der tilknyttes projektansatte medarbejdere, bør evt. fremtidig tilknytning til den faste organisation overvejes og være klargjort på et tidligt tidspunkt. Det er samtidigt en fordel, hvis der ikke foregår for høj en grad af specialisering på jobfunktioner. Medarbejdere, der indhenter feltdata, bør også trænes i rapportering og edb-mæssig bearbejdning af de indhentede data. Derved undgås uønsket hierakisering, og man modvirker uheldige følger af de almindelige tjenstlige rotationer af medarbejdere. Samtidigt bør det sikres, at de anvendte edb-systemer med hensyn til indkøb, service, og især træning af medarbejdere kan baseres på lokale forhandlere og kursusudbydere.

Opsummerende vil følgende grupper af personer være involveret i fremskaffelsen af data til monitoreringen:

- de ordinære implementerende medarbejdere som ansatte i f.eks. Vand-eller Indenrigsministerium, medarbejderne ved de regionale myndigheder, og herunder især feltarbejderne,
- medarbejdere på statistiske kontorer for sundhed, vand, landbrugsproduktion, folkeregister, etc.,
- udvalgte landsbyboere, hvoraf minimum halvdelen skal være kvinder, og
- medarbejdere i den projektbærende organisation, der har monitorering som hovedopgave, og som både arbejder i felten og med rapportering (afhængig af projektets størrelse fra 3-10 personer, hvoraf mange bør være kvinder).

Omkostningerne ved at etablere og drive en overvågningsorganisation bør ikke overstige ca. 1 % af samtlige projektudgifter.

### 2.3. Hvad indeholder informationen?

Den løbende monitorering skal fremskaffe information, der vedrører den fysiske fremdrift, økonomistyring, benyttelse af output, problemopfangning og langtidsresultaterne. For vand-og

sanitetsprojekter kan det indebære:

- fysisk fremdrift: indikation af faktisk leveret input og produceret output, set i forhold til den gældende handlingsplan, hvor målene er angivet for hvert kvartal og for det indeværende år. Eksempler på tabeldata kan være:
  - antal vandforsyningsanlæg færdiggjort,
  - antal landsbyer forsynet med anlæg,
  - antal beboere dækket med vandforsyning,
  - antal vandkomiteer etableret,
  - antal træningskurser afholdt,
  - antal Pumpeassistenter uddannet,
  - o.s.v.

Kort med indplotning af dækkede/ikke-dækkede landsbyer giver en simpel, men særdeles instruktiv oversigt over den rumlige (d.v.s. geografiske) fremdrift.

- økonomistyring: regnskab for de enkelte aktiviteter, set i forhold til budget, hvor kvartals- og årsrammer er angivet. Eksempler kan være:
  - udgifter til konstruktion af rørlagte anlæg,
  - udgifter til konstruktion af håndpumpeanlæg,
  - udgifter til vedligeholdelse af samme,
  - udgifter til træning,
  - lønudgifter til projektansatte,
  - indtægter til vedligeholdelse, gebyrer,
  - transportudgifter,
  - etc.

De samlede tal bør analyseres pr. enhed, pr. lokalitet, over den forløbne periode, og set i forhold til de fysisk gennemførte aktiviteter. Er der f.eks. overensstemmelse mellem antallet af færdiggjorte pumper og udgifterne hertil?

- benyttelse af outputs: i forhold til den udformede logiske projektilgangsramme/LFA, og de heri opstillede indikatorer for årsmål. Eksempler kan være:
  - antal håndpumper, overdraget til landsbyer,
  - antal kvinder/mænd/børn, der benytter pumper,
  - dagligt vandforbrug til forskellige formål,
  - bakteriemålinger ved indtag og haner,
  - størrelse af deponerede landsbymidler,
  - antal reparationer udført af Pumpeassistenter,
  - o.s.v.

- problemopfangning: i forhold til bl.a. de forudsætninger, der lå i LFA-matrixen, men også uforudsete typer af spørgsmål må opfanges. Det kan være:
  - vandkvalitetsproblemer,
  - påvirkning af miljøet,
  - pålidelighed af indsamlede monitoreringsdata,
  - manglende støtte fra lokale myndigheder,
  - misbrug af midler på landsbyniveau,
  - konstruktions- og anlægsfejl,
  - misforståelser ved brug af anlæg,
  - etc.

- langtidsvirkningerne: i forhold til målsætningerne i LFA,

og med udgangspunkt i baseline-studier, eller allerede monitorerede data. Eksempler er:

- antallet af sygdomstilfælde, specielt vandbårne og vandrelaterede, i lokalområdet,
- spædbørns-, barne- og mødredødelighed i lokalområdet,
- befolkningsvæksten i landsbyerne,
- ændringer i arbejdsfordelingen i landsbyen,
- landbrugsproduktionens udvikling,
- ændringer i holdninger til vedligeholdelse,
- etc.

Det er nødvendigt at tilvejebringe information udover det direkte projektrelevante om f.eks. andre sundhedsfremmende aktiviteter (vaccinationer, klinikker, m.v.), og påvirkninger af landbruget iøvrigt (vej, priser, m.v.) for at kunne tolke langtidsvirkningerne mere præcist. Men al indsamlet information skal dække det lokale område, så sammenligninger med andre områder kan foretages.

#### 2.4. Hvorledes kommunikeres informationen?

Når den definerede information er fremskaffet ad de forskellige veje som anført, skal den afrapporteres og målrettes til modtagerne. Udformningen af afrapporteringen er en meget væsentlig del af et monitoreringssystem, og vil antagelig undergå justeringer i løbet af ethvert projekt. Men visse gennemgående træk bør være gældende. Bestanddelene kan standardbeskrives som værende:

Kvartalsrapport med totalbeskrivelse af al monitorering af fremdrift, økonomistyring, output-benyttelse, spot-checks, og langtidsvirkninger. Alle aktiviteter er medtaget, og alle lokaliteter er dækket. Til brug for de lokale projektbærende administratorer. Udformes hvert kvartal (følgende finansåret) med løbende akkumulerede data, så det fjerde kvartal blive opsamlende årsrapport. Kvartalsrapporterne danner grundlag for regionale koordineringsmøder (som afholdes kvartals- eller halvårsvis), hvor fremdrift, problemer, m.v. drøftes.

Årlig projekt review-møde på baggrund af årsrapporten med deltagelse af de decentrale beslutningstagere (den projektbærende organisation og bistandsmissionen), samt evt. repræsentanter fra Finans/Planlægningsministeriet. Mødet skal ikke opfattes som 'årsforhandlinger' i generel forstand, men afgive indstilling til det konkrete projekts budget og mål i handlingsplanen for det kommende år. Mødet indgår i en 3-årig rullende ramme (indenfor projektaftalen), hvor der hvert år fastsættes endelige rammer for det følgende år, foreløbige rammer for det næstfølgende og overslag for det tredje år.

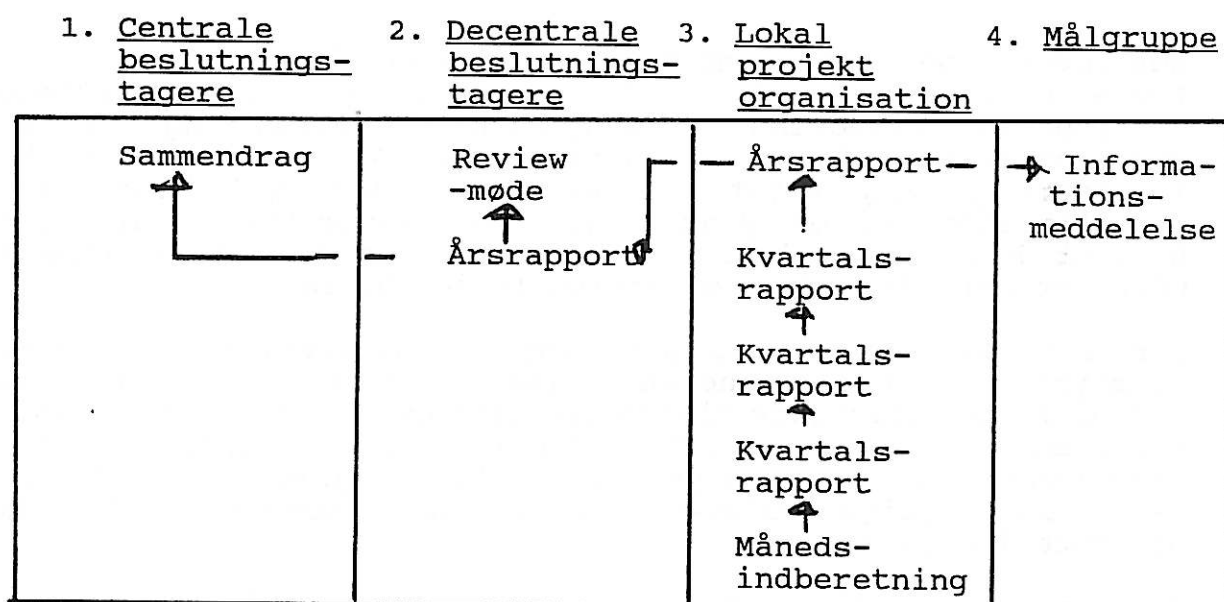
Sammendrag af årsrapport (max. 10 sider) med hovedresultater fremsendes til de centrale beslutningstagere (landekontoret i Danida og modtagerlandets Finans/Planlægningsministeriet). Herfra kan helt korte notitser (1 side) til top-ledelsen udarbejdes om projektet går fremad i



henhold til planen, om evt. forsinkelser eller om der er tilbageskridt (f.eks. uforudsete skadelige virkninger). Sammenlægningen af årsrapportens data kan af landekontoret benyttes til opdatering af Danida's projektdatabase.

Informationsmeddelelser udformes på baggrund af årsrapporten i to versioner: en til den lokale målgruppe (2-4 sider på det lokale sprog), indeholdende både generel projektudvikling, og oplysninger om lokalområder, og en til den danske offentlighed (2-4 sider på dansk) om projektets generelle udvikling med særlig vægt på effekter og langtidsvirkninger. Udarbejdes henholdsvis af den projektbærende organisation og bistandsmissionen.

Informations-flow'et i monitoreringssystemet kan herefter se sådan ud:



## 2.5. Opsummering.

Den opstillede model for et monitoreringssystem skal tilpasses de faktiske projektvilkår, herunder forholdene i de enkelte modtagerland, og vilkårene i marken. Med henblik herpå er der afslutningsvis formuleret opgavebeskrivelse for feltmæssig afprøvning af modellen under to forskellige sæt vilkår: afprøvning i forbindelse med vandforsyningsprojekter i Tanzania med vægten lagt på monitorering af fremdrift og effekter, og afprøvning i Bangladesh med egnsudviklings- og vandforsyningsprojekter med vægten lagt på monitorering af effekter og langtidsvirkninger.

### 3. FELTUNDERSØGELSE.

Målsætningen for feltundersøgelsen er primært at indsamle information fra projekterne i marken for derved at opnå et mere nøjagtigt og detaljeret billede end hvad der er muligt alene fra de dokumenter, der er til rådighed hos Danida i København. Hertil kommer, at den opstillede model kan afprøves, d.v.s. konkret ved det enkelte projekt og lokalområde kan monitoreringsystemet udformes. Endelig kan information om lignende projekter udenfor Danida's aktiviteter indhentes for at supplere studiet af andre donorers praksis. Forslag til opgavebeskrivelse for feltundersøgelsen vedrørende udvikling af Danida's monitorering af bistandsprojekter er hermed:

#### 3.1 Baggrund.

Bestræbelserne på at opnå målene for udviklingsbistandsprojekterne og højne kvaliteten af bistanden har især været centreret omkring en forbedring af projektforberedelsen, og en mere systematisk tilrettelagt evalueringsfunktion. Derimod har der kun i mindre omfang været fokuseret på overvågningsfunktionen (monitoreringen), dens placering, indhold og praktiske udførelse, hvilket bl.a. har givet sig udslag i, at der endnu ikke er udformet mere detaljerede retningslinjer herfor.

Der er derfor behov for en udvikling af monitoreringen som begreb og styringsredskab, og herunder for afprøvning af modeller for systemer, der overvåger bistandsprojekternes fysiske og økonomiske fremdrift, deres effekter og langsigtede virkninger. Det er især væsentligt at få afprøvet monitoreringsmodeller, der kan være bæredygtige udover selve den donorstøttede implementeringsfase.

På baggrund af det for Evalueringsenheden udarbejdede studie af monitoreringspraksis, byggende på bl.a. 8 udvalgte Danida-projekter i 5 forskellige lande, og andre donorers praksis, er opstillet en model for monitorering, som skal afprøves under forskellige lokale betingelser. Den feltmæssige afprøvning udgør fase 2 af udviklingsarbejdet.

#### 3.2. Målsætning.

Ved nærværende opgaves løsning tilstræbes generelt:

- at udvikle overvågningen (monitoreringen) af bistandsindsatsen kvalitativt, specielt med henblik på i højere grad at opnå de langsigtede virkninger,
- at forbedre monitoreringen som et fleksibelt og dynamisk styringsredskab både for administrationen af Danida's indsats, og med henblik på at styrke modtagerlandenes kapacitet.

Der sigtes specifikt på:

- at udvikle tilgange og indikatorer for overvågning af målsætningerne om at stræbe mod økonomisk og økologisk bæredygtighed ("sustainability"), om at bistå landenes egen mobilisering af ressourcer og folkelige deltagelse ("participation") samt om at øge indsatsens spredningseffekt ("replicability"),
- at sammenligne Danida's metoder og tilgange med andre bistandsorganisationers (f.eks. NORAD, SIDA, UNDP og EEC), og indenfor forskellige sektorer (f.eks. vandforsyning-og sanitet, egnsudvikling og landbrug),
- at udvikle monitoreringssystemer, der kan levere information til såvel modtagerlandets som donorens administration, løbende under projektgennemførelsen, og efterfølgende med påvisning af effekter og langtidsvirkninger.

### 3.3. Konkrete arbejdsopgaver.

Feltundersøgelsen (fase 2) planlægges foretaget i 2 trin: en afprøvning af den opstillede model i forbindelse med vandforsyningsprojekter i Tanzania med vægten lagt på monitorering af fremdrift og effekter, og en afprøvning i forbindelse med egnsudviklings-og vandforsyningsprojekter i Bangladesh med vægten lagt på monitorering af effekter og langtidsvirkninger. For dem begge skal feltundersøgelsen omfatte, men ikke nødvendigvis begrænses til:

- opdatering af udviklingen af de udvalgte cases i forhold til beskrivelsen udfra sagsakterne, og herunder om de foreløbige konklusioner af studiets fase 1 svarer til feltobservationerne,
- undersøgelse af den faktiske monitorering, produktion af rapporter, benyttelse af indikatorer, og modtagelsen af rapporterne blandt de decentrale og centrale beslutningstagere, de lokalt projektadministrerende og hos målgruppen,
- i samarbejde med den lokale projektbærende organisation undersøge, hvorledes den opstillede model konkret kan iværksættes, således at fremdrifts-, effekt-og langtidsvirkningsmonitorering udføres både i gennemførelsesfase og i den operationelle fase,
- identificere omkostningerne ved den faktiske monitorering og ved en iværksættelse af den konkretiserede model, herunder til medarbejdere, tilsyn, træning, logistik, etc.,
- identificere de lokale myndigheder eller organisationer, som monitoreringssystemerne institutionelt kan forankres i,
- og beskrive og analysere andre donorerers feltmæssige

anvendelse af monitorering, herunder specielt deres post-projekt monitorering.

I Tanzania skal feltundersøgelsen omfatte de Danida-støttede vandforsyningsprojekter i Iringa, Mbeya og Ruvuma regionerne samt i Bagamoyo. I Bangladesh skal feltundersøgelsen omfatte vand-og sanitetsprojektet i Chaumohoni samt egnsudviklingsprojekterne NRDP-2 og RDRS.

#### 4. Forventet resultat.

Forinden afslutningen af hvert af de to trin af feltundersøgelsen forelægges et sammendrag af de fundne resultater for de berørte parter i henholdsvis Tanzania og Bangladesh.

Fase 2 planlægges afsluttet med udkast til rapport som oplæg til en workshop for faglige konsulenter/sagsbehandlere, etc., hvorunder resultaterne af det samlede studie vil blive fremlagt, og herunder drøftet oplæg til retningslinjer for Danida's monitorering.

Efter færdiggørelsen af den endelige rapport til Evalueringsenheden vil der blive givet feed-back til andre donorer samt relevante myndigheder og organisationer i modtagerlandene efter nærmere aftale.

#### 5. Tidsramme.

Fase 2 planlægges til at omfatte 250 arbejdstimer placeret i perioden februar-september 1991. Hertil kommer feltarbejde af ca. 3 ugers varighed i henholdsvis maj 1991 i Tanzania og i august i Bangladesh.

#### 6. Udførelse.

Opgaven udføres som led i Samarbejdsaftale med Institut for Samfundsudvikling og Planlægning, Aalborg Universitetscenter, af lektor Henrik A. Nielsen, tidligere Monitoring & Evaluation Adviser, NRDP-2. Den kombineres iøvrigt med et forskningsprojekt om overvågningen af udviklingsprocessen, støttet af Rådet for U-landsforskning.

## **Annex 1.**

### **Study of the Monitoring Practices of Danida.**

#### **1.1. Study Objectives.**

1. The present study is the 1st phase of a task to improve the monitoring of the Danida-funded development activities, in particular in view to achieve the longterm objectives of the activities to a higher degree. Further, it is the aim to improve the monitoring efforts as a flexible and dynamic managerial tool, both from the point of view of the administration of Danida, and to increase the capacity of the receiving countries.
2. Specifically, the objectives have been to develop new approaches and indicators for the monitoring of the achievement of sustainability, of the mobilization by the countries themselves of the resources and the popular participation, and of the replicability of the assistance interventions. By comparing approaches and methods of Danida with other donors, and by studying, how the procedures of feed-back to the administrations of the receiving countries and the donors actually are implemented during the project-periods, and maybe afterways, the monitoring tools should be improved.
3. This desk-study is based upon review of literature, visits and interviews with resourcepersons, and identification of the use of relevant indicators from the review of documents of a number of cases. It presents an analysis of the application of monitoring, including the indicators, and recommends specific projects for field-study. An outline of phase 2 is presented in section 3, including proposals for possible experiments with indicators.
4. During the implementation of the study, necessary adjustments to the outlined specific tasks have been made according to the preliminary findings, and through the discussions with the Evaluation Unit. In particular the focus has been shifted from the specific indicators of sustainability, participation and replicability to indicators in general, and the utilisation of indicators, and from the proposed sectors of agriculture, health, nutrition and hygiene, and roadbuilding, to the sectors of public utilities and rural development, containing both the hardware and software components of water supply, sanitation and health. The detailed discussion on the methodology of the cases reviewed is found in Annex 5.
5. The original Terms of Reference for the study is appended as Annex 27.



## Annex 2.

### Monitoring: the Conceptual Debate.

6. The conventional position of defining the concepts of monitoring and evaluation were consented by the United Nations ACC Task Force in 1984 by issuing the 'Guiding Principles for the Design and Use of Monitoring and Evaluation in Rural Development Projects and Programs', according to which the "monitoring is the continuous or periodic review and surveillance (overseeing) by management at every level of the hierarchy of the implementation of an activity to ensure that input deliveries, work schedules, targeted outputs and other required actions are proceeding according to plan", and the "evaluation is a process for determining systematically and objectively the relevance, efficiency, effectiveness and impact of activities in the light of their objectives. It is an organizational process for improving activities still in progress and for aiding management in future planning, programming and decision-making." (FAO, 1984, p.13-14).

7. A similar position is taken by OECD's Development Assistance Committee's Expert Group on Aid Evaluation, though maybe not that rigidly. In the discussion on the sustainability in development programmes it is e.g. stated, that "Since development projects are a dynamic development process, issues of sustainability requires attention through the life of the project. Some form of warning system of periodic analyses and reports is desirable to alert programme managers to factors affecting programme sustainability." (DAC, 1989, p.13).

8. However, to limit the monitoring activities to only being performed during the life of the project, and solely aiming at a narrow conceptualisation of the project management is increasingly being questioned. Reference is made to the paper by the Consultant to the EADI Vith General Conference in Oslo, June, 1990 (EADI, 1990). Two additional examples will suffice for this purpose, both related to essential long-term issues of impact.

9. Hans M.Gregersen and Allen L.Lundgren, University of Minnesota, has discussed how to link monitoring and assessment to sustainable development in connection with the Forestry for Sustainable Development Program (FFSD), and stress, that to gain the information needed to make informed choices, monitoring and assessment systems are needed to assess changes both in biophysical and in institutional variables associated with development. They add: "Most projects have impacts that go beyond their formal lives. Yet most monitoring and assessment activity ceases when the project terminates. If sustainability is of concern, continuity of positive project activities beyond the lives of projects must become an objective, and adjustments in the monitoring and assessment process need to be made accordingly." (FFSD, 1989, p.1 & 6).

10. Dr. Mary Tiffen, Overseas Development Institute (ODI) has

into Irrigation Projects through Intersectoral Cooperation for a Joint WHO/FAO/UNEP Panel of Experts on Environmental Management for Vector Control (PEEM), and introduced a much expanded and updated view of the project cycle concept in which the project phase is 5-10 years followed by an operations phase (including maintenance and monitoring) of 20-50 years (see figure 3 below):

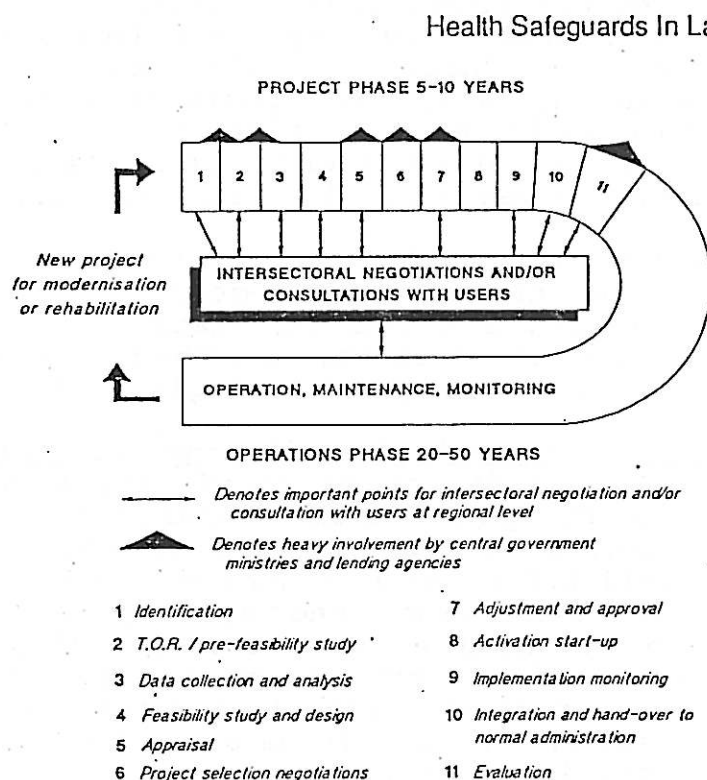


Figure 3. The expanded and updated view of the project cycle concept

She points out, that "it also important that the monitoring techniques and the information base built up during implementation are transferred from the project authority to the ministries or other organizations taking over part of the operation. These latter will need budgetary provisions or an income from fees which is sufficient to carry them out; methods should not be used during implementation which are financially impossible during operation." And "In the traditional project cycle, evaluation comes after implementation, and this may be a requirement of the lending agency...It would however, be a mistake to think that evaluation, which in a sense is a review of the previous monitoring arrangements, should cease at this point. Monitoring will also be required during the operational phase, and project authorities will continue to be able to make adjustments during this phase to management as well as disease control methods." (PEEM, 1989, p.33, 42-43).

11. The position of the larger donor agencies is also gradually being reconsidered. Dennis J. Casley, Chief of the Operations Monitoring Unit, Central Operations Dept., IBRD, states cautiously in the authoritative book 'Project Monitoring and Evaluation in Agriculture' that "A comprehensive impact evaluation should be an option used selectively in innovative projects or in those with identifiable and substantial risks. The evaluation staff of a project that requires such evaluation should start collecting data early - preferable at appraisal - and continue collecting them well past completion" (IBRD, 1987, p.113). While the USAID Evaluation News, July-August, 1990, reports a discussion on how to achieve sustainability: "Achieving this goal, however will necessarily require changing many A.I.D. business practices...the adoption of extended planning horizons with greater flexibility, better monitoring, and evaluation information systems that focus on management information needs and long-run impact.." (p.14).

12. To sum up: the definitions in force till now of monitoring and evaluation is being questioned affected by the long-term needs for information, in particular in relation to issues like sustainability, community involvement, etc. The procedures of the donor agencies will have to change accordingly.

13. The institutional framework of monitoring and evaluation is also under debate. Or, as it may be asked: for whom are the development activities being monitored? As recently expressed by the former Head of Evaluation, ODA, and ex-Chairman of the DAC Expert Group, Dr. Basil E. Cracknell: "Here is the Achilles Heel of most evaluation programmes..Most donor agencies, although they pay lip services to the need to work cooperatively with the recipient countries, in fact very seldom do so. Indeed they instinctively see evaluation as basically a defensive mechanism to assure their treasuries that aid funds are being spent well - they do not really see it primarily as a means of encouraging the recipients to carry out self-evaluation so that they can more effectively learn lessons for themselves." (Cracknell, 1990, p.9).

14. The issue is really how the monitoring systems introduced during the life of projects may be established and sustained after the completion of the project, so that the operations of the system and the information collected may benefit the purposes of the local governmental agencies, authorities and beneficiaries of the society in question. Rather than the systems presently being established by the different donor agencies, based upon purposes and principles aimed at the donor society, resulting in a whole range of options for the recipient authorities of planning, finance or line-ministries. The point of view of the donors will have to be turned 180 degrees around, if sustainability of the monitoring systems is to be safeguarded.

15. Having established these two new important positions, the issue of indicators in general may be approached. During introduction of the Logical Framework Approach in ODA, the advantages and disadvantages of using targets and performance measures were studied intensively. The main points were that measurement presented no problems at the input and output level,



but it became more difficult at the immediate and development objective level. Further, that both quantitative as well as qualitative factors should be included, in particular in social or 'people-orientated' projects. Simpler and more straightforward approaches are needed (proxy measures and rapid rural appraisal) instead of expensive operations. Finally, that although lists of performance indicators for different sectors have been produced by many donors, there are no ready-made solutions for measurement or data-collection, which can easily be adapted from one project to another. Actually, it is better, that the project planners should think the problem through for themselves case by case (while of course maybe using the available manuals containing examples of indicators for inspiration), it is recommended (ODA, 1986, p. 3.13 and 6.5).

16. The advantages of use of the LFA in this relation is, that it focusses the attention of the project analyst on the data requirements for monitoring and evaluation of the different stages of the project. However, it should be a mistake to assume that quantification is a sine qua non. The central issue in evaluation is not so much one of quantitative versus qualitative measures, but rather "that indicators of change should be objectively verifiable, whether they be quantitative or qualitative" (ODA, 1986, p.6.16).

17. Raymond Apthorpe is even more sceptical in his paper 'Two Concepts of Social Development: Their Implications for Data Bases, Indicators and Development Planning', presented at a training seminar for local social development planning at the UN Centre for Regional Development, Nagoya, Japan. The paper argues, that the selection of particular indicators to be made for actual application must be derived from the particularities of the project or programme actually concerned. And since the bases, which are useful for the construction of indicators for national planning and action to be taken at the national level, are unlikely to be equally useful at the local level, a special effort in indicators as well as in other data collection and presentation is required to address the specifics of district and subdistrict development and planning (UNCRD, 1987, 10-11).

18. To sum up: It is advisable to try to construct indicators as a proxy means of measurement for the monitoring process. However, indicators are just indications, and should not be general ones, but be specified for each particular purpose and project, and for each particular project-area.

19. The implication of this conclusion is, that although examples of performance measurement or indicators will be given below within the issues mentioned in the terms of this study, it should not be regarded as distinguished or excellent ones. They are for training and inspiration purposes only.

20. The issue of sustainability was part of a study of cross-cutting dimensions in Danida evaluation reports in 1987. The attainment of sustainability was here seen as a multi-dimensional process, where progress should be measured on various dimensions, and the causing factors sought in different directions. It followed from this argument, that it is not possible to think of

one simple quantitative indicator of the degree of sustainability obtained at a given time (Danida, 1987,p.6.).

21. Within the sector of integrated water supply and sanitation projects a UNDP-programme of Promotion of the Role of Women in Water and Environmental Sanitation Services (PROWWESS) has worked out a tool for goals and indicators. Agreeing to the overriding goal as achieving effective and sustainable utilization of water and sanitation facilities through strategies, that are replicable, indicators of effective utilization of the systems, sustainability and replicability have been suggested.

22. Defining 'sustainability' as the ability to maintain efforts and derived benefits both at the community and agency level without detrimental effects on the environment, even after managerial, financial and technical assistance has been phased out, places the emphasis on a problem-solving capacity in the community and its people. This has important implications for measuring the sustainability, involving more than just measurement of sustained functioning of the facilities. It will include dynamic features, as well as static measures. According to the PROWWESS-proposal, five main indicators of sustainability, some of which have to be considered both at the community and agency level, may be presented:

- S1. Installed and functioning systems,
- S2. Confident/competent individuals  
(community and agency)
- S3. Strong organizations (community and agency)
- S4. Environmental conservation
- S5. Inter-organizational collaboration.

The proposed indicators are elaborated in Annex 21 (PROWWESS, 1989, p.10).

23. Turning to the issue of participation understood not only as the tangible effects of development projects, but as an abstract concept of processes, which are qualitative, occurring over time, and of which the outcome or effect might be very difficult to predict at the beginning of a project, then the problems of measuring these processes are indeed difficult. Peter Oakley has tried to suggest not only a number of quantitative indicators, but more important, a set of qualitative indicators, concluding, that since they manifest themselves over time, we cannot simply tick them off, but we must monitor them accordingly. The indicators, presented in total in Annex 22, are grouped as follows (EADI, 1990, p.12-15):

- |              |                                     |
|--------------|-------------------------------------|
| Quantitative | Economic indicators                 |
| Indicators:  | Organizational indicators           |
|              | Participation in project activities |
|              | Development momentum                |
| Qualitative  | Organizational growth               |
| Indicators:  | Group behaviour                     |
|              | Group self-reliance                 |

24. Defining replicability as the ability to duplicate the

processes and benefits of a set of development activities in new locations after their effectiveness has been demonstrated in limited geographic areas, the PROWESS-group sees the stage of growth of a programme as critical for the rating of replicability. There are three broad stages: pilot, demonstration and replicability (at the district, regional and national level). Hence, there are five indicators of replicability, summarized in Annex 23 (PROWESS, 1989, p.12):

- R1. Proportion and role of specialized personnel.
- R2. Established institutional framework.
- R3. Budget size and sheltering.
- R4. Documented administrative/implementation procedures.
- R5. Other special/unique conditions.

25. Other interesting suggestions of indicators are available. The UNDP/IBRD-project 'Monitoring and Evaluation of Communication Support Activities in Low-Cost Sanitation Projects (UNDP, 1984) focuses in particular on the communicational aspects, while the German Technical Cooperation (GTZ) has collected an entire 'data-bank' for rural regional development programmes (GTZ, 1989). It is very thorough and instructive, not least, because it also focuses on the Means of Verification, and the considerations to be made in this regard. Two specific indicators are presented in Annex 24, one related to the development objective of health-improvements, and one related to the output of monitoring the monitoring system!

### Annex 3.

#### Practices of Other Donors.

26. The questions posed under this section are the following:

- How is the basic framework and set-up of a project described in the donor-agency? Is a fixed format (e.g. LFA) ,including indicators, objectives, means of verification, etc., mandatory?
- How is the ongoing monitoring of the project, its progress, effects and impact organised? Is programme follow-up institutionalized within the agency, i.e. at fixed intervals, is a data-bank of all projects with necessary information available, etc.?
- How is the monitoring system of the agency and the cooperation with the recipient countries institutionalized? For whom are the projects monitored?
- Are indicators of sustainability, participation or replicability studied by the agency?

27. The answers to the questions have been collected by visits to the ODA, SIDA and NORAD, while studies of available documents illustrate the practices of IBRD, EEC, USAID and UNDP, partly or fully. Clues of interesting practices of other donors, not studied in detail, are found, e.g. the participatory monitoring introduced in many IFAD-projects, the data-bank of GTZ, etc., and more in-depth investigation of these practices might be undertaken during the 2nd phase of the study.

28. The British Overseas Development Administration (ODA) introduced in principle the Logical Framework Approach for the preparation of projects and programmes in 1986, though with some adjustments renamed it the 'Project Framework'. It includes the basic matrix of levels of objectives, indicators of achievement, means of verification and important assumptions (ODA, 1986). Whether it is implemented totally in practice is not documented, but preparation of combining the previous Management Information System (giving mainly budgetary and accounts-information) with the Project Framework is ongoing. It is not the impression, that procedures of ongoing monitoring are applied, but a sequence of occasional reviews or evaluations is the usual pattern.

29. No details of the institutionalization of the monitoring of ODA is available. However, some lessons appear from the Synthesis Report, 1990, based upon analysis of 79 projects evaluated since 1980: "While ODA does not act as the main implementing agency in any project (this role normally falls to recipient country organisations), it is nevertheless responsible for facilitating, monitoring and supervising implementation" (ODA, 1990, p.2), sustaining the view-point, expressed in para 13 by its former Head of Evaluation.

30. Concerning indicators, it is noted in general from a number of projects, that it is important to consider what impact a project might have beyond that intended for it as expressed in project objectives. Further, that clear definition of objectives,



careful appraisal and systematic monitoring serve to increase beneficial impact and target it more specifically on any key groups, which are intended to benefit, such as women and the poorest (p.3).

31. The issue of sustainability in particular was also looked into in the synthesis of completed evaluation. It is found, that institution building is part of the sustainability, and "therefore, be given careful attention at the design and appraisal stages, and progress against objectives carefully monitored to give the project the best possible chance of sustaining its benefits" (p.4). Unfortunately, it is not specified, when or how such monitoring shall be implemented.

32. The World Bank does not subscribe to the LFA, but adopts an approach which implicitly uses a similar system of indicators, clear description of objectives, etc., anyway. Dennis J. Casley thus gives a long list of indicators to measure beneficiary participation, though they are all quantitative (IBRD, 1987, p.144-45). The timing of monitoring and evaluation is being debated, as mentioned above, and by the means of a mandatory Project Completion Report for all projects, followed by an evaluation (named 'audit') of all projects as well, the information available to the staff of the Bank is substantial. Whether the experiences gained are available to the agencies of the recipient countries, is an open question.

33. The issue of sustainability was studied recently in the Evaluation Results for 1988-report, in particular stressing the need for developing institutional analysis, and confirming, that beneficiaries' participation in decisionmaking and in implementation increases the efficient use of human, institutional and cultural capital in certain projects, including area-based development projects, and is a major determinant of these projects' sustainability. In Annex 20 is appended an example of the framework for assessing the sustainability of two education projects (IBRD, 1990, p.33).

34. The United States Agency for International Development (AID) was the originator of the LFA, and since the early 70s it has been a key element in appraisal and planning. It is said to facilitate monitoring and evaluation, but years of efforts to define realistic, practicable and verifiable measures and indicators have not produced firm and easily transmittable guidelines. However, all LFA-matrixes are part of the computerized information system, enabling the desk officer or adviser to have immediate access to all the key facts of every project funded over the last 15 years. The trend of monitoring of the projects has moved away from extensive, conceptually complex and methodologically rigorous studies, not necessarily more accurate than simpler, more straightforward designs, involving local individuals in the collection and analysis of data, e.g. along the lines of Robert Chambers' approach to rapid rural appraisal (ODA, 1986, appendix 3).

35. Within the Directorate-General for Development of the EEC an interesting effort was introduced in December, 1988, to improve the ongoing monitoring of the development projects under

the ACP-, STABEX-and Lomé-funding. On a semi-annual basis, all delegates, i.e. the EEC-missions, are to report in a prescribed format on the progress of ongoing programme/project implementation in the light of objectives, as well as on the future viability/sustainability, including an analysis of the factors bearing on situation to be attained after project completion. The factors are similar to the ones described in the Sustainability-study by DAC. By this 'Early Warning System' (appended in Annex 18) to the desk officer at EEC-headquarters, necessary actions should be taken timely. However, since the LFA was only introduced by circular of September, 14, 1990, the objectives, indicators, etc., had not until then been formulated in a systematic, and practical experiences might only be limited with the use of these 'traffic lights' (EEC, 1988, 1990). It is proposed, that documents of the Early Warning System concerning an ongoing project are collected from the field, e.g. the EEC Rangpur Regional Development Project.

36. Commissioned by the EEC's Evaluation Unit and Sectoral Policies Unit, Katja Schulz undertook a comparative survey of project preparation and evaluation criteria used by development cooperation agencies in 1989. Among the documents made available is the UNDP Policy and Procedures Manual, according to which the UNDP and the executing agency should continue to help the government ensure the effectiveness of a project even after the activities specified in the project document have been completed. A 'Resident Representatives Report' provides information on the basis of post-project monitoring, the format of which is appended in Annex 19. The information available however does not tell how, when and who is implementing the 'post-project monitoring', or how development objectives, project results, etc. are to be measured (Schulz, 1990, p.159 & 167). It is proposed to look into specific examples of this reporting in the field.

37. The Head of the Evaluation Section of SIDA has informed, that the LFA is not applied by this agency, and that monitoring systems as such are only developed to a limited extent. This is explained by the role of SIDA as being only the contracting agency, tendering consultancies, agreeing with governmental institutions or local organisations, but not managing projects themselves. Similarly, project-staff or advisers are not employed by SIDA, but recruited by the employing ministry e.g., though some 'Coordinators' are employed for control purposes. Accordingly, monitoring reports are forwarded to the employer, e.g. the local ministry, who maybe will forward a copy to SIDA.

38. However, it is a special feature within SIDA-procedures, that the ongoing direct reviewing of projects locally is quite frequent and with fixed intervals. Each quarter of the year representatives from the development co-operation offices of the 17 selected recipient countries are reviewing the progress of the project together with representatives of the host ministry and the project staff. The minutes of the meeting are forwarded to the technical adviser in Stockholm, with a copy to the regional office. Each year a more comprehensive review will take place in the host ministry or at the development office, chaired by the technical advisers, and often with external consultants participating. Agreed Minutes will be produced of the meeting of the

consultancies, etc. The present volume of the data-base, thus, is about 1.300 'interventions', though the ongoing number of SIDA-projects is about 200.

39. Concerning indicators, only production targets are specified in details, and objectives of social development or sectoral programmes are rarely contained. Standards for sustainability, participation or replicability are not formulated. The constraints of measuring accomplishment in relation to objectives was analysed in a recent report on the quality of decisionmaking processes and aid, caused by the introduction of a new budget procedure in the Swedish administration, emphasizing 'management by results' rather than 'management by objectives'. When comparing the areas of results (i.e. a) economic or financial return, b) observance of budgets, c) production of goods, d) implementation of activities, e) effects on target groups and f) the Swedish assistance objectives) with the possibilities of measuring accomplishment within the different sectors, it is obvious, that only a few of the dimensions of goal accomplishment are measurable with satisfactory precision, as seen i figure 6.5 below:

Figur 6.5 Möjlighet till redovisning av måluppfyllelse

Biståndstyp	Möjlighet att mäta		
	God	Möjlig	Svag
Industri	a	b, c, d, f	e
Jordbruk	(a)	b, c, d, e, f	
Infrastruktur	a	b, c, d, e, f	
Utbildning		b, c, d, e, f	a
Hälsa		b, c, d, e, f	e
Förvaltning		b, c, d, f	a, e
Miljö		b, c, d, f	a, e

40. At project-level, ambitions of monitoring progress and impact can be quite high. The SIDA Rural Employment Sector Programme (RESP) in Bangladesh (phase 1 1986-89), which was evaluated in 1989, has e.g. designed an impact monitoring system (to be implemented by its Central Planning and Monitoring Unit) consisting of a census survey of 7.000 households, an in-depth sample survey with some 900 socio-economic variables, and a smaller survey of a few hundred households to be repeated every quarter. As observed by the evaluation mission, the system created is complex as well as comprehensive. Whether in due time it will be able to deliver the needed results, is to be seen.

smaller survey of a few hundred households to be repeated every quarter. As observed by the evaluation mission, the system created is complex as well as comprehensive. Whether in due time it will be able to deliver the needed results, is to be seen. However, since it contains innovative features, it is proposed, that the status of the system is investigated in the field (SIDA, 1990, p.32).

41. The NORAD-position as regards monitoring is even more decentralised than in SIDA, according to a consultant, who has been commissioned to draft a handbook on project implementation, and the officer, who was secretary to the workinggroup, which last year formulated the new strategy for NORAD in the 90s. "NORAD is not supposed to monitor - the recipients are responsible", it is stated. The implication in relation to the LFA, which is systematically used by the agency, is that the usual column 'means of verification' of the indicators is omitted from the matrix, since this is not needed from the point of view of NORAD! (NORAD, 1990). NORAD-funded advisers thus always refer to their local ministry or institution, and copies of their reports would not usually be forwarded to the agency. In joint projects with more donors, some, e.g. Danida, is believing the problem is, that the local agencies do not have an adequate monitoring system, whereas NORAD points at the importance of the recipient having the responsibility. Conflicts may arise, since e.g. Danida wants an efficient management, while NORAD will leave the management to the recipient.

42. The reviewing of the NORAD-funded projects however is following a cycle, whereby the Annual Meeting of the technical advisers, the mission and the local government agency will approve the plan and budgets on a 3-yearly rolling basis, and in between the meetings, an Annual Review-report is made from the field to give input to the next Annual Meeting. The combined system of meeting and review is more flexible, because its working on a continuous basis and regularly. A data-based system keeps track of all projects with a summary (including objectives), an account plan, and all activities time-scheduled. An example is appended in Annex 15.

43. However, the format and use of the system could be improved. The relationship between the data collected through the ongoing monitoring within the projects are not necessarily utilised within NORAD, and the Review is normally produced by the TAP, whereas e.g. UNDP stresses, that it shall be the normal project management, who drafts the report, to support the monitoring of the local institution. And it can be done. A good example from the project document of the Zambian Water Supply and Sanitation Programme, prepared by the Provincial Water Engineer presented to and endorsed by the local authorities, and then forwarded to NORAD with request for support, including nicely LFA-matrixed objectives, etc., is shown in Annex 16.

44. The data-based informationsystem might also be improved. The Canadian International Development Agency (CIDA) has developed a system, not only tallying closely on with the LFA analysis, but in addition containing background information, achieved results at the different levels and lessons learned. Annex 17 shows the



content.

45. Sustainability has not been elaborated upon as a distinct issue. However, the termination of all NORAD-activities in Kenya has caused a commissioning of the Chr.Michelsens Institute by NORAD to study the consequences of the termination, since this development offers an exceptional opportunity to look into the sustainability of the activities so far assisted by the donor.

46. To sum up: Most donors are using a kind of Logical Framework Approach to systematically prepare and describe the project objectives and design. However, as often, the indicators are not described specifically enough, and rarely are the means of verification more than intentions or assumptions of availability of documentation. It is recommended, that special emphasis is placed on this issue in future Danida-planning, and that proposals for indication of development objectives are checked for the particularity of the project-area in question.

47. To sum up: The establishment and use of a computerized data-bank of all projects, containing vital information in a brief summary, is a useful tool for desk officers, technical advisers and project management in several agencies. The fixed scheduling of locally arranged review-meetings with inputs from the projects' monitoring is a flexible and sustaining support to the recipient authorities. It is recommended, that Danida considers such options of improving the overview of the ongoing project portfolio.

48. To sum up: The institutionalisation of the monitoring within the recipient countries is constrained by the felt need of most donors to be responsible for supervision and management, whether explicitly stated or implicitly implemented. Support to post-project monitoring, and simple, cost-effective and local systems of ongoing monitoring is however being promoted by e.g. UNDP and NORAD. It is recommended, that Danida also supports such schemes, which in particular would enhance the sustainability of the benefits produced.

49. To sum up: Indication of sustainability, participation or replicability is not a common feature among the donors. In any case, it is difficult to imagine general guiding indicators in this respect. Possibly sector-wise, or even project-wise formulation will be necessary. It is recommended, that examples of indicators within these issues are collected sector-wise from projects for training and inspiration purposes.

#### Annex 4.

##### Current Danida Procedures for Monitoring.

50. This section will try to examine the prevailing distribution of the roles related to the monitoring of the Danida-funded bilateral development projects. Through briefly scrutinizing the guidelines and drafted procedures, a picture will be drawn at least of the formal situation, before the cases studied will be presented. The major questions asked are: - What is the present concept of monitoring within Danida? - Who is responsible for the ongoing monitoring of projects at the different stages of its life? - And what is the role of the specific positions in the organisation?

51. Like many other donor agencies, Danida is still in the process of defining the concept monitoring, and producing guidelines for its proper use. In November, 1987, Project Guidelines for Monitoring and Evaluation were drafted. Monitoring was defined according to the usual convention as "the continuous gathering and analysis of information on actual inputs, activities and outputs, and their comparison with the project plans with regards to time, quality, quantity and costs", and it was seen as "an integral project activity and an essential part of good management" (Danida, 1987, p.1).

52. The focal point for the monitoring output is the Danida Mission/Copenhagen, though it "often is an exercise in collective problem solving" for the recipient country and Danida. But it is stressed, that Danida must be able to inform the Danida Board, the Parliament, the Government and the public of what is being accomplished with the development assistance funds. The tools of the monitoring are the quarterly progress reports to be produced either by a Chief Project Adviser/Project Coordinator, or the individual adviser, and to be used primarily by the operational staff at the Danida Missions, and in Copenhagen. The assessment of the local authorities in the recipient country, who might be 'other users', is rather sceptical, "they should be at least as well informed as Danida, and often the progress reports are the only reliable information they receive on project implementation". Anyway, the drafted guidelines on monitoring remained a draft, though the perception of level of information and roles might prevail.

53. According to the Organisation Manual, though not stated explicitly, the office of DS.3, the Evaluation Unit, is supposed to give overall guidance in relation to monitoring. Since the office "gives technical support to especially the regional divisions, in particular through preparation of guidelines for the overall project cyclus and crosscutting issues like institutional development, project planning and maintenance," it is assumedly also covering the monitoring. But it is in itself quite surprising, how scarcely the proper word 'monitoring' figures in this manual. (Danida, 1990a, p.19). (Consultant's underlining).

54. The Regional Divisions (DB.1, DB.2 and DB.3) are responsible for the overall project administration. There are implementing functions, participating, supervising and advising functions. "Generally, the division has a supervising role, i.e. it is its right as well as its duty to interfere if it is deemed necessary. This applies i.a. to preparation of plan of operation, purchase of project equipment or financial monitoring of project and rendering of accounts." (p. 47). The focus is obviously on the expenditure-side, and not on effects or impact.

55. Within the Regional Division, the Head of Country Section is "in charge of the processing of project proposals, the current administrative preparation, planning and monitoring of projects, including the section's cooperation with the Danida Mission's project administrator." (p.65). As will be seen, he/she is the only officer, who's 'monitoring', in somewhat contradiction to the matrix 6 on project implementation, where the major tools of the project reports are being prepared by the advisers, commented upon by the Danida Mission, and technically assessed by the Technical Advisory Division.

56. As stated, "once the assistance activities have been initiated, DB.4/5 (i.e. the Technical-Advisory Divisions) follow, to the extent necessary, the activities through project reports and review missions." (p.51). While the Danida Mission has as its most important tasks in connection with the implementation of aid projects "to be responsible for start-up and implementation of Danida aid projects. This includes supervision of individual projects by way of visits at regular intervals and continuous contacts with the authorities of the recipient country." The Mission is also to prepare status reports, though the purpose, frequency and for whom is not specified (p.73).

57. To sum up: Though many have the responsibility to 'follow', 'to supervise' or even 'to monitor', the specification of the tasks are not quite unambiguous within the organization. And it is an important observation, that nobody apparently is designated to monitor projects in their operation and maintenance phase, not to speak of the post-intervention period, as it is the case of the UNDP Resident Representative.

58. The updated Guidelines on Evaluation, define indicators as "objective and specific measures of the results of the project. Indicators of output are usually simple (e.g. numbers of units produced, persons trained or vaccinations done). The application of indicators of the achievement of objectives, i.e. of developmental effects and impact ..., however, may be highly complex and costly, if at all possible. In such cases qualitative and less objective assessments must be relied on." The implication being that output-indicators are quantitative, and effect/impact-indicators qualitative, is not sustained.

59. A very valuable support from the evaluation-teams is suggested in the guidelines to be recommendations from experience of lack of data at the time of evaluation on how the ongoing data collection might be improved in order to facilitate future evaluations. It underlines the close relationship between the monitoring and the evaluation, and in many projects the report

of evaluation will become a platform on which the future operations and maintenance-arrangements will be built. (p.9)

60. The Logical Framework Approach is now also a prescribed tool for Danida. It will, of course, take some time before all ongoing projects have an elaborated matrix to be monitored and evaluated. But already during reviews, substantial efforts are being made to rectify or streamline elder project documents. Some confusion remains however with respect to the timing of the immediate objectives, the verification by indicators and the monitoring, as presented in the Handbook on LFA: If the immediate objective indicates what specific effect, the project will achieve within its lifetime (vol.I,p.7), and indicators (in general, as e.g. shown in the coloumn of the matrix) demonstrate results, independently of the timing, to serve as the basis for monitoring (p.10), then the issue of continued monitoring post-project versus leaving the effects unmonitored is raised. To omit the immediate objectives, and only focus on outputs and intermediate objectives might be a clearer definition. (Danida, 1989a).

61. Guidelines for Project Completion Reports (PCR) were issued in 1989 with a call for a gradual inception of 2-3 reports from each recipient country within the following halfyear. The initiated guidelines are a very good contribution to bridge the gaps in the present monitoring system, the implementation of which will undoubtedly be an improvement. First, it forces the offices to specify, whether activities should be regarded as completed or not. Secondly, it focuses on the conditions and needed support during the following operations and maintenance-phase, and it specifies, that the responsibility for any follow-up action rests with the Danida Mission.

62. A few qualifications might be added. The exeption of preparing a PCR in the case a subsequent phase of the same project is being planned involves a considerable element of risk, since it is exactly the quite normal fluid phase of possible extension, that the PCR might clarify. If this exception is maintained, many projects will not produce a PCR. Further, it is basically a wrong strategy to leave the preparation of the PCR to "the staff, who have been involved in the implementation of the project" (inclining the TA-staff or expatriate TAP even), while "the recipient country (implementing authorities) should be invited to comment on the PCR, as it may be of use in the continued implementation of the project and/or in replication of the project." (Danida, 1989b, p.4). It is also advised, that the PCRs are kept in the Documentation Centre also with cross-reference possibilities country-wise. Finally, the format should contain details not only on need for further analysis, as suggested, but on the possibilities for continued post-project monitoring, i.e. what type of information will be collected and analysed by which offices or people, and on the need for ongoing data-collection.

63. Guidelines for Project Preparation are under review, and a preliminary draft has been made. The step 10, monitoring, however, still contains the mixed attitude towards the double purpose of the monitoring function (donor or recipient?). It is stated, that it is the local project-implementing organization,



who is responsible for the function, but the output (result) is yet the (inherited) Progress Report, produced according to the guidelines of 1986, i.e. by the Chief Project Adviser/the advisers. It is suggested, that scheduled annual (semi-annual) meetings with the participation of the mission-representatives, the recipient country representatives and the project-staff, following the pattern of NORAD/SIDA, is included in the such guidelines. (Danida, 1990b, p. 38).

64. A report from a Workinggroup on the Allocation of Contracts for Project Implementation explains i.a. the need for monitoring, and stresses, "that the analysis of outputs and related indicators is of special importance, when it concerns a project to be contracted, since the outputs describe the results, the administrator of the project is going to be judged upon (Danida, 1990, p.7). It might be added, that it is not only the indicators of output, which are important, but also the indicators of effect and impact. The project administering company is to forward quarterly reports to Danida and the recipient country explaining how the project is progressing compared with the Plan of Operation. This report should be based upon an agreed monitoring system, and show the data collected on the indicators, including effects and impact. This, of course is of particular importance in the cases, where the baseline surveys have not been made yet.

65. To sum up: Progressive steps towards improving the guidelines and procedures of the Danida monitoring have been taken recently. However, the guidelines for monitoring and manuals in general of Danida need to be updated and issued, keeping the aim in mind to support and sustain the efforts of the recipient local administrations themselves to monitor their own development projects. If such support succeeds, then the need for Danida as a donor agency to keep a reliable track of project implementation and post-project results will be reduced, and the information needed for the Danish constituency will be much easier available.

## Annex 5.

### Methodology of the Case-Studies.

66. The presentation of the methodology of the case-studies contains two areas: the first explains, how the case-studies have been selected to illustrate, not represent, the procedures, practices and constraints faced in the monitoring process, and the second discusses the analytical questions, which have been posed to the different cases.

67. The DANIPROJ-database of all Danida-funded bilateral projects undertaken during the years 1962 through 1990, now contains all untied grants-project, i.e. 689, and presently 211 projects financed as tied aid. Of these 542 have been completed, while 358 are ongoing. Among these, a few have been selected as case-studies to illustrate and unveil the practices, which raises the basic problem of methodology, which could be formulated as follows:

The cases should illustrate the monitoring function, as it is practised now in most Danida-projects, i.e. in relation to coverage, recipients, content, and organisation. According to which criteria should they then be selected and studied, when we want to focus both at the weaknesses and strengths of the different practices, taking into account the limitations of time and resources?

68. The first step in the selection was the timing of the project. Since experiences and practices should be of recent date to be operationally orientated, the criteria was, that the should be ongoing or completed recently. The limit was interpreted as the projects should be still ongoing or completed within the last 3-5 years. A major interest would also be to include projects, which contained preparation and plans formulated according to the new guidelines of LFA. Accordingly, about half of the projects included have been incepted during the last five years, while the other half are elder projects, still ongoing and having been reviewed or evaluated recently.

69. The second step was the critical one. The cases should include different types of project organisations, since it was assumed, that this would be a major factor of determining the monitoring function. The organisation of Danida-projects may be structured along two criteria: According to principle of administration, i.e. if it is administered by Danida itself, by an NGO or if the administration has been contracted to a company. And secondly, according to means of administration, i.e. if the project is managed with little or no fieldstaff (Advisers, TA-staff), if a larger Project Implementation Unit (PIU) (whatever it may be called actually) is managing the project, or if in addition to the PIU another level of management, e.g. a Steering Unit in Copenhagen or in the capital of the recipient country, is put on top of the hierarchy. In principle, a matrix of different organisational types would look like the one shown below. In reality, 'clean' types are more difficult to find, as will be

seen from the field:

	Steering Unit	PIU	TAP (limited)
Danida			
NGO			
Private Co.			

Ideally, at least 9 types of projects thus are to be included as illustrative cases, assuming, that the monitoring functions are differentiated along these lines.

70. The third step of considerations of selection relates to the content of the project-activities, or from which sectors of development assistance, the projects should be illustrating. Originally, three sectors were foreseen to be included: agriculture as a 'production'- area, health, nutrition and hygiene as a 'soft'- area, and roadbuilding as a physical infrastructure 'hard'-area. It was however decided to concentrate on one sector only, which still contained the same elements of 'production', 'soft-ware' and 'hard-ware', for two reasons: First, to avoid too many determining factors in the analysis (the matrix of cases would be incalculable), and the organisational structure, mentioned in para 69, was assessed to be the most important to maintain. Secondly, to limit the resources needed for the actual studies. It was found, that project-activities within the water supply, sanitation and general rural development would be suitable since they contain all the elements of production, soft- and hardware. At the same time, it is generally assumed (see para 33 and 39), that these type of projects faces the most serious constraints in relation to measurability of indicators and accomplishment of objectives.

71. Finally, as the fourth step, the geographical area and cultural pattern was considered. Since about half of the Danida-projects are undertaken in Tanzania, Kenya, India and Bangladesh (464 out of the 910 registered), it is reasonable to concentrate within these major recipient countries. However, cases from other countries might be included as well, if the leading principle (organisational structure) is to be overruling. With the 2nd phase in mind, it would also be advantageous, if the experiences of the Consultant from Bangladesh (with 116 projects) and Tanzania (with 139 projects) could be utilised.

72. Having decided upon these four criteria and priorities, the possible cases of a recent nature, framing in total the organisational matrix outlined, implementing activities within water supply, sanitation and general rural development in either Bangladesh or Tanzania were scrutinized. The short-list, containing 10 projects, was then finalised by excluding the water supply projects in Cameroon and Mali due to overlapping organisational structures (they both fall in square no. 8 shown below), and to reduce the study. It might also be noted, that the Evaluation Report, 1983 SE2, could not be located. The final matrix of the case studies is as follows:

	<u>Steering Unit</u>	<u>PIU</u>	<u>TAP limited</u>
<u>Danida</u>	1. NRDP-2	2. Chaumohoni	3. Bagamoyo
<u>NGO</u>	4. (RDRS)	5. RDRS	6. ADRA
<u>Private Co.</u>	7. Iringa	8. Bhutan	9. Malawi

74. The actual placement in a square is of course subject to assessment. The RDRS e.g. is working in the field through two major programmes, but administrated from a central office in Dhaka. At the same time, the RDRS is part of the larger organisation LWF, having a headquarters in Geneva. The Iringa-project is a combined Danida/Private Co.-administrated project, as is the Chaumohoni-project, and the differentiation has been made according to composition of the management, and Danida-involvement so far. The full project-summaries are appended as Annexes 7-14.

75. It might be claimed, that the matrix-principle should not be the organisational structure of the Danish institutions involved, but of the recipient institutions, following the discussion points made previously. This could be done, and would be justified. It has however, not been followed due to lack of sufficient information of the recipient institutions involved, and due to the present position of the donor, which does not apply to this point. While it might be desirable, it is not feasible at this moment.

76. Considering the material on the cases available, it was found, that Summaries of Evaluations were not sufficient for the purpose of analysing the monitoring practices, as originally intended. Since it was not possible to implement in-depth studies of the files of all cases, in-depth studies have been carried out for the projects of RDRS, ADRA, Bagamoyo, Chaumohoni and Bhutan, while only studies on selected documents (Evaluation, Appraisal) of the Malawi-and Iringa-projects have been made. For NRDP-2, besides the major documents, the experiences of the former M & E Adviser were consulted. The distribution of projects on countries thus have been 3 projects from Bangladesh, 2 from Tanzania and 3 projects from other countries (Malawi, Sudan and Bhutan).

77. The second part of the methodology has been to formulate the analytical questions to the cases. The first has simply been, if a monitoring system at all has been established, and the general outline of the system. This part will also include, if a baseline survey was implemented at the initiation of the project.

78. Second question analyses the progress reporting: dealing with the physical and financial progress, measuring the inputs and outputs, the staffing of the monitoring functions (TA-staff, government officers, etc.) and who are the end-receivers of the progress reports produced? Are local authorities involved, or maybe even beneficiaries? Further, if any spotchecks in the field are implemented to check the quality of activities and the



progress reports produced? Are local authorities involved, or maybe even beneficiaries? Further, if any spotschecks in the field are implemented to check the quality of activities and the reliability of the reported information? And finally, it concerns the regularity and organisation of review-meetings of the project: who's participating, are they scheduled, are they minuted, etc.

79. Third question, following the raising levels of the LFA, relates to the monitoring of effects, i.e. the result of the immediate objectives: how are the utilisation of benefits produced being monitored? At this level there is a conceptional difference between the donors, and probably also among the plans of the specific Danida-projects. Some intend to see the immediate objectives within the life-time of the project. Accordingly, the monitoring system is limited to tracing the effects within that range. Others see the effects as results of the intermediate objectives, ranging say 2-5 years after the completion of the project, but still as basically the utilisation by the beneficiaries of the benefits produced by the project. This would demand another design of the monitoring system.

80. Fourth question is the difficult one, if any impact-monitoring has been outlined or even implemented. This relates to the long-term development objectives, and the measurement of contribution of the project to achieve those. The focus will be on any attempts to include a post-project monitoring feature within the design of the project.

81. The fifth analysis covers the issue of indicators: what type of indicators for progress, effect or impact respectively has been outlined in the project documents, and what has actually been implemented? In particular, if any indicators of sustainability, participation or replicability are to be found. Though the general indicators, as discussed above, are debatable, it is important to verify from the cases, if the application of such indicators is feasible.

82. The follow-up by the Danida-offices of the implementation of the project is an assessment of the routines performed through visits to the project (not only the mission, but also the field-sites), reviews by technical advisers, consultants or desk officers, and the proper fielded evaluations.

83. The institutionalisation of the monitoring, i.e. the feedback to the recipients, the training of the ordinary staff of the governmental institutions, or the training of the beneficiaries themselves in monitoring techniques, and the question of funding the procedures during phases of operation and maintenance, and in general the post-project monitoring, are the fundamental, final questions.

Annex 6.

Case Analysis and Preliminary Conclusions.

84. The analysis of the 8 cases in question is presented in details in the appended Annexes. To give scope for cross-project analysis, in aim to reach more general conclusions, if possible, the focal point of the individual cases are summarized in a format for each of the main questions posed. The first one concerns the monitoring in general:

	<u>System established?</u> <u>Responsible body?</u>	<u>Baseline Survey?</u>
1. NRDP-2 19(77)85-	Routinized NRDP/BRDB M & E Unit	Delayed, limited utility
2. Iringa 19(78)83-	Working, but regional differences Min. of Water	Elaborated in in details
3. Bagamoyo 1978-	Under establishment? Min. of Water	No (small study)
4. RDRS 1977-	Routinized PME Unit	Yes, for members
5. ADRA 1989-	no information	no information
6. Chaumohoni 1990-	Under establishment DPHE/Exec.Eng.	Socio-Economic Feasibility Study
7. Bhutan 1985-	not working NUDC	Probably made, but not available
8. Karonga 1987-	not established yet Village-level	implemented

85. It is the general impression, that the establishing of well-functioning monitoring systems, including the designing of systems, training of staff or villagers, supervision of activities, etc. takes time. It is only 3 out of the 8 cases, which seems to have well-functioning systems, and it is the older projects, which now have routinized ongoing monitoring, developed gradually. It is, however not decisive which organisational principle, they are structured around, whether Danida-administrated, NGO or private company, but it is tempting to conclude, that the size of the project is important. Both NRDP-2, Iringa and RDRS are large-scale projects. An it is suggestive, that they all have Steering Units, and large PIUs.

86. It is also worth reflecting, that the baseline surveys so often are delayed, not implemented or not available. Actually, only 3 (Iringa, RDRS and Chaumohoni) out of the 8 cases has reasonably well prepared baseline surveys at their disposal for ongoing monitoring and later evaluation.

87. The second area of questions are the factual state of the Progress Reporting. Two focal points are summarized below: what are the types of reporting, and is it being utilized:

	<u>Type of Reports</u>	<u>Review</u>
1. NRDP-2	Monthly, Quarterly by TA-staff	Monthly Review Spotchecks
2. Iringa	Monthly Financial Performance Report by govt.staff MMTU	(Review)
3. Bagamoyo	Occasional Reports	Quarterly Review
4. RDRS	Semi-Annual Implem./Monitoring Report	(Review)
5. ADRA	no information	0Xno information
6. Chaumohoni	not yet initiated	not yet initiated
7. Bhutan	No NUDC-report Monthly consult.report	Frequent Reviews
8. Karonga	Monthly reports?	no information

88. The detailed pattern of progress reporting is, that about half of the projects do have functioning reporting, though the quality is only known a little. If there's a report, there also a good chance, that frequent review will take place. Yet, often the linkages between those, who produces the report, and the donor is weak. It should generally be noted, that the actual reports were rarely available in the files of Danida for whatever reason. Finally, the spotchecking of the reliability of the reports demands high quality and motivated staff. The idea could be introduced in many more projects.

89. The third area is the effect-monitoring, and the summarized issue is, if effect-indicators have been designed, or implemented, and by which means of verifications, the needed information is/will be collected:

	<u>Effect Indicators</u>	<u>Means</u>
1. NRDP-2	Designed (some tested)	Govt.staff Studies M & E
2. Iringa	Recommended	Studies CDR/IRA

3. Bagamoyo	no information	Audit, Review
4. RDRS	Outlined for members No reports	Project staff
5. ADRA	no information	no information
6. Chaumohoni	Outlined	CARU-staff
7. Bhutan	Outlined	Govt.staff ?
8. Karonga	-	-

90. This picture of effect-monitoring is quite depressing. Obviously only RDRS is implementing regular monitoring according to well-designed indicators, though only for their group-members. NRDP-2 has tested some, but the overall implementation rests with the government-staff. A number of smaller studies have been implemented, but regular, ongoing data-collection is rare. Probably, the major problem is not so much the designing of proper indicators as it is the organisation of means of verification

91. One step further is whether the projects are trying to measure the achievement of the development objectives, i.e. the impact. Without listing the projects, it is easily seen, that only 4 have tried to outline the impact-indication, and 1 project to implement the indication. The conclusion is not, that the trials should be given up, but that simple, cost-effective, locally based data-collection should be promoted. In particular to enhance the sustainability, more efforts should be put into these area.

92. The total picture of utilisation of indicators is shown on the page below. There's a gradual decline in the number of projects, which are undertaking progress-indication, effect-indication and impact-indication respectively: from 4 with progress-indication over 2 doing effect-indication to only 1, where impact-monitoring has been tried. One might suggest, that since the LFA containing much more emphasis on designing indicators and defining the means of verification has only recently been introduced in the project preparation (e.g. in Chauhomoni og Malawi, fast results should not be expected.

93. It can be seen from the scrutiny of the individual cases, that indicators of sustainability, participation and replicability have not been designed specifically in the projects, as of yet. It is suggested, that this is done for some of the cases during the 2nd phase, using the proposals mentioned above.

94. The sixth area of analysis was the issue of Danida's follow-up actions. It is exemplified by the visits to the project-area from Copenhagen or the mission, and Reviews and Evaluations are noted as follows:



Overall Situation

Utilisation of

Indicators

<u>Project:</u>	<u>Progress- Indicator</u>	<u>Effect- Indicator</u>	<u>Impact- Indicator</u>
RDRS: 1977-	Ongoing	Outlined - implemented?	Outlined
NRDP-2: 19(77)85-	Ongoing	Outlined (some implemented)	Implemented (suspended)
Iringa, Mbeya: 19(78)83-	Ongoing (to some extent)	-	-
Bagamoyo: 1978-	-	-	-
Bhutan: 1985-	Ongoing	Outlined	-
Malawi: 1987-	Initiated	-	(Outlined)
ADRA/Sudan: 1989-	-	-	-
Chauhomoni: 1990-	Initiated	Outlined	Outlined

General:	4 ongoing 2 initiated 2 n.a.	2 partly implemented 2 outlined 4 n.a.	1 implemented (suspended) 2 outlined 1 (outlined) 4 n.a.
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	<u>Visits</u>	<u>Review/Evaluation</u>
1. NRDP-2	frequent not scheduled	Review 1986 Evaluation 1988 Strategy 1989 Appraisal 1990
2. Iringa	frequent not scheduled	Evaluation 1987
3. Bagamoyo	annual mission visits	Audit 1984 Review 1991?
4. RDRS	frequent Danida-visits	Review 1986 (Evaluations 1980, 1983 and 1986)
5. ADRA	office visit	n.a.
6. Chaumohoni	frequent preparatory visits	n.a.
7. Bhutan	numerous visits/	No review or evaluation
8. Karonga	(not studied)	Reviews 1988, 1989 and 1990.

95. The pattern of follow-up from Danida, defined in this way, is quite distinct: frequent visits or meetings with the project, but rarely scheduled. It is recommended, that visits are planned with a fixed regularity, so as to facilitate the ongoing monitoring, which could supply needed information before the meetings. Reviews are also taking place regularly, but the pattern varies from project to project.

96. Finally the issue of institutionalisation of the monitoring function, which might be regarded as the most important part of the analysis. The focal points, which have been looked into, are the training of people, able and willing to continue the monitoring after the withdrawal of the TAP, and the question, if any responsibility of monitoring has been taken over by a recipient body (government, village committees, etc.):

	<u>Training</u>	<u>Responsability Taken Over</u>
1. NRDP-2	local staff trained (UPMO), workshops	2 out of 15 local authorities
2. Iringa	no training	Water Ministry designated
3. Bagamoyo	very limited	-
4. RDRS	local staff trained	-
5. ADRA	local staff trained	Rural Water Auth.?
6. Chaumohoni	training planned	local authorities designated
7. Bhutan	on-the-job-training of ex-pat staff	no information
8. Karonga	delayed, not yet initiated	users will take over, funds secured

96. The training of local staff or villagers for the future monitoring, e.g. of an operations and maintenance phase, is now regarded by all as an indispensable project activity. Yet, it is only 4 out of the 8 cases, where such training has been implemented. In 4 cases out of 8 the future responsible monitoring managers have been identified, but actually no recipient body has yet taken over the monitoring function. The donor has regarded it as their responsibility. It will probably take much more time before these roles will be changed.

97. Generally, the study from the files and reports available only of the 8 cases do not indicate, that the determining differences are due to the principle of organisation (i.e. if the project is administrated by Danida, an NGO or a private company). It might rather be caused by a difference in the age of the projects, which passes through two stages in the development of monitoring functions: the older projects, which were designed without more detailed analysis of objectives, using LFA, etc., but gradually through development of initiatives, training, gaining experiences, etc. have established reasonably well functioning monitoring systems. On the other hand, the newly introduced projects, where the approach has been outlined, but not yet initiated. In both groups, there is a growing awareness of the need to anchor the monitoring systems within the local authority or community so as to ensure the future well-functioning of the ongoing monitoring. The many innovative mechanisms and ideas from other donors should support this development.

Annex 7.

Project Summary

Ref.No.: 035                      Jour.No.: 104.Bang.90      Office: DB.3.2

Country: Bangladesh      Sector: Multisector, 09      Status: On-Going

Title:      Noakhali Integrated Rural Development Project-2.

Incepted: March, 1, 1985 (2nd Phase)      No. Appropriation: 1 (3)

Project Type: Untied Grant      1st Project Period: 1.3.85-31.10.90

Total Appopr.: DKK 480.3 mio.      Total Exp.: DKK 327.0 mio.

Project Admin.: Danida and Bangladesh Rural Development Board.

Project Organisation: A Project Implementation Unit in the BRDB and in the field, called NRDP, is responsible for the implementation, while a Project Steering Unit in Danida, Copenhagen, and a Project Advisory Team (Danida) in the field is advising.

Background: The 1st phase of the project was initiated in 1978 in 3 counties (upazilas), while phase 2 encompasses the Noakhali district in total with 15 counties (upazilas). Integration, flexibility, decentralisation and groupformation are key features. The project is working satisfactorily, although certain problems persist. It was evaluated (Midterm) in April, 1988, and has been extended up to June, 1992.

Development Objectives:      To promote economic growth and social progress aiming at the poorer segments of the population including women.

Immediate Objectives:      To increase the agricultural production, improve the physical infrastructure, and promote production programmes in the non-agricultural sector.

Activities:      13 components comprising various activities: Irrigation and Drainage, Agricultural Extension, Cooperative Agricultural Marketing, Cooperative Education and Training, BRDB Institutional Support and Agricultral Cooperative Credit, Rural Poor Institutional Aspects and Credit, Cottage Industries, Reactivation of Fish Ponds, Livestock, Health, Nutrition and Family Planning, Construction and Maintenance, Mass Education, and Advisory Team-activities (Planning, Monitoring & Evaluation, Accounts, Training, Women's Activities, Transport).



## Monitoring of the NRDP-2

### 1. Monitoring in General.

Based upon the experiences of NIRD, i.e. the first phase of the Noakhali-project, the monitoring of the second phase was strengthened, in particular to provide a better tool to the project management. However, details were not included in the Appraisal (and the outline was even shorter in the Project Proforma of GoB), apart from the provision of a Monitoring & Evaluation Unit of 10-12 professional staffmembers to implement 'monitoring, short studies and research activities', headed by 1-2 Danida Advisers, which has been functioning since the completion of phase 1. However, the different stages of monitoring have developed gradually, and it is the overall experience in particular of such a large-scale and comprehensive project, that it takes time for the staff, the project managers and the cooperating local authorities to develop, train and use a satisfactory monitoring system.

A baseline survey of the project area was intended in the Appraisal, but in particular due to the difficulties in the tendering process of the local consultancy firms, and the need for enlarged supervision and quality-control during the implementation, the results of the survey were delayed until two years after inception of the project, and they were even of limited use.

It has been a specific aim in the development of the monitoring system, that it could be linked up with the normal monitoring procedures of the lead agency, BRDB, and other agencies and local authorities. At the same time, the project itself, the project management, its co-ordination committees, the Danida, etc., has needed monitoring tools. A potential conflict between these two purposes has sometimes been unavoidable, e.g. concerning the periodisation of reports, and in particular the conflicting needs of the local authorities (Upazila Parishads) and the central line-ministries and agencies (including the lead agency) for information respectively supplying local details (physical as well as financial) or at an aggregated level, has been realised.

Accordingly, presently the design of the monitoring system is being adjusted from a project-level and central ministerial needs to a local-level and decentralised needs.

### 2. Progress Reporting.

Inspired by a Consultant on monitoring in November, 1984, Monthly Physical Progress Reports have been produced from the upazilas by the field-level staff of the components (departmental or project-staff), and forwarded to the head of the component, containing indication of the physical performance of the activities during the last calendar month (thaka disbursed, males or females trained, meetings held, etc.), i.e. the inputs and outputs. The reports follow the structure of the Annual Development Plan (budget) of the project, making comparison between the

physical performance and the financial expenditures possible. This was, however, only possible from the financial year 1988/89 by agreement with the Monitoring & Coordination Cell, NRDP, Dhaka, since until then the BRDB followed a physical reporting period from 20th to 21st of the month (not tallying with financial reporting) in order to have the report available in BRDB-headquarters on the 3rd of the month.

The upazila-contributions are then compiled at the component-level, who makes a report with upazila-wise break-down. This monthly compiled report is handed over to the Monitoring & Evaluation Unit by the 6th of the month, and after compilations of all component-contributions, the Monthly Physical Progress Report of NRDP-II is forwarded by the Dy. Director (Mon.), NRDP, to NRDP, Dhaka, latest by the 8th of the month. As such, the project report is identical with the report to the government administration, and it is later (in a condensed form and in Bangla) contributing to the BRDB-report to the Ministry of Local Government, Rural Development and Co-operatives.

Together with the monthly Statement of the Accounts Unit the Monthly Physical Progress Report form the basis for the compilation of the Quarterly Physical and Financial Report of the project, elaborated by the Monitoring & Evaluation Unit. The first such report was seen in Danida, Copenhagen, in September, 1986, and highly appreciated. They have been produced very regularly each quarter since then, and the computerization of this procedure implemented during 1987/88 has made storage of the information (the preceeding months, the Annual Development Plan, etc.) and up-dating a rather simple process. In a draft form, the compiled tables are discussed and checked during the quarterly Monitoring Conference, where one representative as 'Monitoring Official' of each component and unit is participating, delivering qualitative remarks on constraints, etc.

The Quarterly Report, normally a 100-paged document, contains a wealth of quantitative information, which however can be translated into qualitative information, e.g. by tracing the issue of women in development by delivering break-down in 'males' and 'females' instead of 'persons'. For the project management and the higher authorities, a brief Summary and Comments' Report is produced to focus on constraints and achievements. It is presented in a draft form at the quarterly Project Coordination Meeting, where comments from the participating Heads of components and Advisers are invited. The final Summary and Comments Report is forwarded to the BRDB and the Danida mission.

To check the reliability of the reported figures of progress, and the quality of the activities, spot-checks in the field are implemented by the Monitoring & Evaluation Unit after each quarterly report. They are small surveys, collecting documentation and making interviews with the beneficiaries, to produce a rapid feed-back to the project management on the performance of the activities, inputs and outputs.

Review of project activities has been implemented at several levels, and the frequency and composition of the participants have changed over time. The internal Monthly Project Coordination

meetings were originally held with participation from the Danida mission, but later extended into two separate Sector meetings without the mission representatives, and a Quarterly Project Coordination Meeting. At present, meetings in 8 months of the year is held with focus on the upazila-performance, and the 4 quarterly meetings with focus on the performance of the components. Coordination with the line-ministries has been maintained through the infrequently held National Coordination Committee-meetings, chaired by the Ass.Secretary of the Rural Development and Cooperative Division, Ministry of Local Government, Rural Development and Cooperative. A 'Working Group' of this committee, consisting of the Director General of the BRDB, the mission representative, and the representative of the Ministry of Planning, has functioned as the real trouble-shooting forum. Coordination with the local government authorities has improved since the Project Coordination Committee, chaired by the Director General, BRDB, and including the Dy.Commissioners of all three districts, changed it's large membership of components heads and Upazila Nirbahi Officers to only include the Upazila Parishad Chairmen, i.e. the elected representatives of the local areas.

Decisions regarding the performance and progress of project activities are not necessarily taken at the meetings mentioned, and the minutes of the meetings (which are produced quite regularly) are not always reflecting the discussion. However, it is to be noted, that it is with delays, and even not in any case, that the reports produced and the minutes taken are to be found in the files of the project in Copenhagen. However, though the committee-structure is complicated, it is clearly observed, that the activities of this project are reviewed and monitored closely by the Danida-system, the host government agencies, and to some extent by the local authorities. Whether the systems designed and implemented so far will be incorporated in the normal structures after the project activities have been terminated, is an open question, among other things depending on the further development of pilot experiments of the Upazila Planning and Monitoring Officers (UPMO).

### 3. Effect Monitoring.

The Appraisal intended, that short problem-oriented studies and investigations should be undertaken for more detailed information on project activities, as well as ongoing evaluation studies to provide analytical support for the management. However, no specific indicators were suggested in general. Some of the components programmes point at adaption rates, e.g. response from contact farmers (Agricultural Extension), or rather vague results, like 'performance of the cooperatives' (Cooperative Education and Training). In more cases, future surveys are suggested, e.g. for the Reactivation of Fishponds, a survey on the production sources of the fish supplied to the market and their (i.e. the ponds in question) relative market share.

As no specific indicators to be regularly monitored over the lifetime of the project were formulated in a Logical Framework-like approach, all the major 130 activities of the components of the project were scrutinised, and indicators of the effects were

drafted during 1988/89 (M & E Unit Study No.137, Oct. 1989). In a few cases, the indicators have been tested in the field, and some found feasible, while in particular the indicators relating to the official classification system of BRDB are not found feasible. Testing and implementation of effect indicators is an ongoing process within the project with focus on the project-staff to be responsible of it's undertaking.

Besides the work related to development of indicators, many studies have been produced to investigate specific results of activities (reference is made to the latest list of reports from the Monitoring & Evaluation Unit). Finally, preliminary estimates of production figures, number of beneficiaries and employment generated by one-time and ongoing activities have been made.

#### 4. Impact Monitoring.

Only very limited number of indicators were suggested in the Appraisal for the development objectives. For the Health-component it was very clear: 1. decline of birth rate, 2. decline of death rate, 3. decline of infant mortality rate. However, as in all other components, no means of verification were pointed at, whether the local statistics are at all available, if they may be utilised, etc.

The Midterm Evaluation recommended, that a system of impact monitoring needed to be developed with poverty indicators, to be done in selected villages. Accordingly, a Village-wise Impact Monitoring System (VIMS) to trace the indirect and more widespread results of the project activities was launched in April, 1989, based upon ongoing, scheduled data-collection from 10 villages by 1 female and 1 male village reporter in each village and supervised by the staff of the Monitoring & Evaluation Unit. The indicators covered the changes in the demographic characteristics of the population, agricultural production, employment, health and nutrition, social development and infrastructure. The VIMS is described in details in M & E Unit Study No. 132, May, 1989, and No. 133, June, 1989, and the first stage covering 7 upazilas was implemented was incepted from April, 1989, onwards. In January, 1990, it was discussed at a workshop at the project, and proposal for the second stage, extending the coverage to 14 villages for demographic and agro-ecological reasons, was put forward. However, with the arrival of a new Adviser, and apparently for lack of resources, the system was suspended for the time being in April, 1990.

#### 5. Indicators Outlined and Implemented.

In the following are examples of the indicators outlined in the project documents, and the fielded implementation:

(se the following page:)



	<u>Outlined</u>	<u>Implemented</u>
<u>Progress</u> (Input/ Output)	Persons Thaka Physical units Villages nos.  Training days Etc.	Males, Females Thaka Physical units Villages nos. and names (location) Trainee/days Etc.
<u>Effects</u> (Immediate Objective)	Performance of Coop's  Performance of farmers -	Performance-list of trainees Sales of seedlings Production figures of Contact Farmers No. of births attended by Dais (all suggested)
<u>Impact</u> (Development Objective)	Birth rate Death rate Infant Mortality rate - - - - - -	Birth and migration rate Death and emigration rate Infant Mortality rate and birth weight Production figures Employment figures Housing status Trafic counts Fuel consumption Prices on Food, Agricultural inputs and crops Etc. (VIMS-system)

It should be added, that the spatial monitoring, i.e. physical location of activities, is ongoing on a yearly basis, placing all inputs in the computerized register with the specific names of the village, union and upazila, and mapping it (as far as the rudimentary available maps allow it).

#### . 6. Follow-Up by Danida.

Visits from the mission in Dhaka have been ongoing quite regularly, at the inception even monthly, while later with larger intervals. From the Steering Unit in Copenhagen, visits have been paid about twice a year to the field, and visits from higher authorities, i.e. the Board of Danida, the Parliamentary Committee of Foreign Affairs, etc., have also been received.

Review in general of the project was implemented in May, 1986, while consultancies, specific studies, etc. of the individual components and activities have been commissioned in large numbers, e.g. in the year 1987/88 about 50 consultancies (persons).

Evaluation was carried out in April, 1988, with a number of preceeding studies and investigations. A Strategy Mission in

January, 1989, made proposals for the future activities in the Noakhali-area and the follow-up of the recommendations of the Evaluation mission.

#### 7. Institutionalisation of the Monitoring.

Proposals for the sustaining of the monitoring of the activities of the project and the produced benefits after the expiry of the present phase has been presented in a consultancy-report, February, 1990, and included in the ToR of the Appraisal-mission for the Local Government Support Programme of the future Noakhali Area Development Programme (NADEP). However, as the NRDP-2 sofar has been extended up to June, 1992, the institutionalisation of the monitoring is still under preparation.

#### 8. Major Project Documents.

(utilised for this study)

Report by Consultant on Monitoring, vols.1-2, November, 1984  
Appraisal and Project Proposal, vols.1-5, February, 1984  
Project Proforma, 1985  
Review, May 1986  
Quarterly Physical and Financial Reports, 1986-90  
Quarterly Summary and Comments Report, 1986-90  
Annual Reports of the Monitoring & Evaluation Unit, 1986-89  
Final Report of Monitoring & Evaluation Adviser, 1986-89  
Effect Indicators of NRDP-Activities, M & E Unit Study No. 137, October, 1989  
Evaluation Report, May, 1988, E5  
Report of a Joint Danida/GoB Strategy Mission, March, 1989  
Report of Mission to Advise on the Continuation of the VIMS, February, 1990  
Revised Project Proforma, June, 1989.

Annex 8.

Project Summary

Ref.No.: 265                      Jour.No.: 104.Tanz.86      Office: DB.1.1

Country: Tanzania Sector: Public Utilities,02 Status: On-Going

Title: Rural Water Supply Programme in Iringa, Mbeya and Ruvuma.

Incepted: Sept., 1983 (2nd Phase)      No. Appropriation: 1 (3)

Project Type: Untied Grant 1st Project Period: 1984-1988

Total Appopr.: DKK 529.0 mio. Total Exp.: DKK 368.0 mio.

Project Admin.: Danida and Tanzania Ministry of Water.

Project Organisation: Executing agency is Ministry of Water through the Regional Water Engineers, advised by a Danish consultancy firm (with a Project Manager in Dar and Regional Managers), organised in regional Implementation Offices. A Danida Steering Unit established in Dar is the executive of the Danida missiontion, taking care of management, financial and technical control, procurement, logistics, etc.

Background: The 1st phase of the project was initiated in 1979 to prepare Water Master Plans in the 3 regions and pilot implementation schemes up to 1983. The 2nd phase included implementation of village water supply systems up to 1988 (planned). A 3rd phase recommended in Midterm Evaluation in August, 1987, was appraised in 1990.

Development Objectives: (not specified, but implicitly formulated as:)  
increase of agricultural production, improvement of health-and sanitation conditions, promotion of village participation, etc.

Immediate Objectives: To provide the GoT with firm recommendations for immediate and long-term development of water resources,  
To construct drinking water supply systems in 300 priority villages.

Activities: Using the Water Master Plan-studies and socio-economic studies construction of water supplies in the villages (handpumps and gravity supply schemes), development of a village-based maintenance system, and applying an integrated project concept with coordination of inputs from the GoT, the regional authorities, the Danida Advisers and the consultancy firm.

## Monitoring the Iringa, Mbeya and Ruvuma Water Project.

### 1. Monitoring in General.

The responsibility of overall supervision and monitoring of the project activities and achievements lies with the Ministry of Water. However, as observed by the evaluation mission in 1987, the Danida Steering Unit has an important role in managing the project, which should be gradually reduced and transferred to the Ministry, in particular regarding supervision and monitoring.

Baseline-studies were elaborated in great detail to establish the situation of water utilisation, water resources and supply, and the socio-economic conditions in general, in particular with emphasis on the role of women. This has established a very good starting point for the design of the water supply systems, and for future evaluations of the achievements.

Further, it is not clear from the available documents, whether an overall system of monitoring the physical and financial progress now has been established and is working on a routine basis in all regions. The mission concluded, that monitoring of implementation and costs initially received insufficient attention during phase 2, but obviously variations in performance monitoring exist from some system established in Iringa region to Ruvuma, where difficult physical access, etc. has slowed down progress.

### 2. Progress Reporting.

Monthly Financial Reports, including a summary of expenditures for all regions and accumulated expenditure for each scheme are prepared by the account office of the Danida Steering Unit and sent to the Implementation Offices. However, it has been found, that it is difficult to correlate the expenditures with physical progress in the implementation of at least two of the regions (Mbeya being the exception).

- From Iringa region is produced a Performance Monitoring Report. However, the frequency and content, including indicators, are not known presently.

A number of so-called Mobile Monitoring and Training Units have been established to support the village-based maintenance. Monitoring formats have been developed for the units, who should report to the Regional Steering Committee, but not implement the actual repairs. The units are also recommended to monitor the maintenance costs and performance as well as guiding the villagers.

At the regional level coordination and review of activities a Regional Steering Committee was set up, consisting of the Regional Water Engineer and representatives of the Water Ministry, Danida Steering Unit (DSU), consultancy firm, etc., and chaired by the Regional Planning Officer. It's scheduled for



meeting every three months to monitor the progress of the project and approve the rolling plans. However, it has been found not to be as active as previously, due among other reasons to the domination of the DSU and the lack of advance information for the meeting.

### 3. Effect Monitoring.

For Phase 2 no specific project objectives were specified, and accordingly it was recommended, that such were formulated with special attention to water resources management and environmental control, maintenance, utilization, hygiene improvements, women's involvement, project organisation and institutional development. Further, that practical indicators were established.

In particular, the need for monitoring the water consumption, peak factor, and the water quality in all regions has been emphasized. The water quality has been monitored on a routine basis every month by the Mbeya Zonal Laboratory, while on an ad hoc-basis in Iringa region. Only individual observations on the water consumption were available to the evaluation mission.

It should be noted, that studies, e.g. the pre-evaluation study on water utilization by CDR/IRA, have been carried out occasionally to give 'snap-shots' of the situation in selected villages.

### 4. Impact Monitoring.

Obviously, no system of ongoing impact monitoring, i.e. tracing the indication of achievement of the development objectives, has been established. The evaluation mission felt, that less time is now being used for fetching water, which could be used for agricultural purposes. However, since no time-series of production figures with break-down on the local areas were available, it is not possible to tell whether the project has had such development impact to the beneficiaries. The mission recommended, that a study for this purpose was carried out. Alternatively, it could be suggested, that local information is collected on an ongoing basis.

### 5. Indicators Outlined and Implemented.

(as seen from the Evaluation Report:)

	<u>Outlined</u>	<u>Implemented</u>
<u>Progress</u>	No. of schemes Cost per scheme Labour-days	data n.a. TShs. total Labour costs
<u>Effect</u>	n.a.	bacteriological test
<u>Impact</u>	n.a.	n.a.

#### 6. Follow-Up by Danida.

The project has been followed closely from the Danida Steering Unit in Dar es Salaam. According to the government-agreement Joint Annual Review Missions (JARM) were to give a basis for the bilateral annual consultations. However, obviously, they have gone into considerable details, and made management decisions on issues such as cost recovery, technology selection and development of village participation.

The project was evaluated in May-June, 1987, by a mission composed of members from IRC, the Hague, GoT, etc.

#### 7. Institutionalisation of the Monitoring.

The Water Ministry was only established as a separate ministry in April, 1987, and a strengthening of the feed-back mechanisms between the regions and the ministry were needed. The evaluation mission recommended, that emphasis should be placed on using experiences to develop policy guidelines, on monitoring and evaluation systems, which allow the ministry to stay informed about the programmes, and that Danida could consider to support the national level institutions.

The many valuable studies on participation policy, institutional aspects, involvement of women, hygiene education and water quality in the home were not utilised fully as intended. They were not translated into practical guidelines and manuals, and no monitoring system at the local level was set up to give information on the practices of the villagers.

#### 8. Major Project Documents.

Utilised:	Evaluation Report, August, 1987
Not utilised:	Appraisal, 1978
	Review, April, 1986.
	Appraisal, 1990.

Annex 9.

Project Summary

Ref.No.: 263                      Jour.No.: 104.Tanz.73      Office: B.1.1

Country: Tanzania Sector: Public Utilities,02 Status: On-Going

Title: Water Supply in Bagamoyo district.

Incepted: March, 1978                      No. Appropriation: 2

Project Type: Untied Grant 1st Project Period: 1978-82

Total Appopr.: DKK 16.6 mio. Total Exp.: DKK 10.2 mio.

Project Admin.: Danida and Tanzania Ministry of Water.

Project Organisation: Executing agency is Ministry of Water through the Regional Water Engineers. No Danida Technical Assistance has been involved until 1988, where a Danish consultancy firm is assisting in supervision and training.

Background: The scheme of water supply was approved by the Board of Danida in December, 1977, and agreed by the governments in March, 1978. Implementation was hampered by lack of materials, transport, inflation of prices, etc., and the funds were exhausted in February, 1982, causing the work to a complete stand-still. A new appropriation for completion of the schemes was approved in August, 1985, but only after further review a new phase of completion and training for maintenance and operation was commissioned to a Danish consultancy firm in May, 1988.

Development Objectives:      Improvements in the health-conditions of the population?

Immediate Objectives:      Rehabilitation of existing water supply schemes.  
Establishment of additional physical water supplies.  
To introduce and monitor regular maintenance and supervision of the schemes.

Activities:                      A construction-period of 2 years, and subsequent 3 years of maintenance and operation:  
Construction of 11 km main-line, completion of 5 water-tanks, distribution net i 6 villages and repairs of 6 km main-line.  
Import of vehicles, equipment and spareparts.  
Consultancy for design, supervision and training.  
Maintenance Fund.  
A paid workforce to implement the schemes, and training of 1 villager for future maintenance.

## Monitoring of the Bagamoyo Water Supply Project.

### 1. Monitoring in General.

The responsibility of monitoring the activities has been lying originally with the Regional Water Engineer, later under the supervision of the Ministry of Water. With the implementation of the rehabilitation-phase from 1988, it has been a clear demand from Danida, that a monitoring system is established with ongoing, monthly progress reports.

### 2. Progress Reporting.

Regular reporting has not been found in the files, but since Danida has not been involved directly, reports might still be found in the ministerial or regional offices. It is documented, that Quarterly Review-meetings have been held frequently in the Ministry of Finance and Planning with participation of the Regional Water Engineer, etc., and from time to time with representatives of the Danida mission. Minutes from these meetings were forwarded to the mission.

Occasional Progress Reports have been made and forwarded to Danida, e.g. on June, 23, 1982, 'as required by you (the Danida mission)', giving details of the physical implementation.

The financial monitoring has not been regularised, partly due to changed procedures over the years, and partly due to delays in the central ministries. This is a major reason to the prolonged preparation of the rehabilitation phase, where proper accounts, in particular audited ones, from the first phase were not available, causing due attention from the Danish State Auditors.

For the rehabilitation phase, the consultancy firm will 'provide close supervision of Maji's performance, make detailed records of progress with monthly reports to be issued to Danida and Maji, work out monthly evaluations of the works carried out by Maji to form the basis for release of funds in accordance with their performance and complete final accounts for the project'.

Apparently at the inception of the works of the rehabilitation phase a first Review-meeting was held on October, 10, 1988, chaired by the Ministry of Water, and with participation from the Danida mission, the consultancy firm, the Regional Water Engineer (RWE), etc. The meeting agreed, that the project implementors would conduct monthly site meetings, and that quarterly review-meetings, chaired by the RWE, would be conducted with the participation of the consultants (as secretary), Danida, the Water Ministry, etc.

However, since then, no documents or minutes of meetings have been found in the files of the project, reflecting the progress of the work.



### 3. Effect Monitoring.

No documentation of ongoing monitoring of the effects of the implemented project has been found.

The Socio-Economic study, conducted during May, 17.-20., 1986, initiated by the questioning of the State Auditors, showed indications of very heavy utilization of the installations completed, lack of proper maintenance, but also of great satisfaction from the users of the quality of the water, and of having access to clean drinking water. These findings were sustained by the Review conducted during December, 9.-16, 1986. In addition, the review mission described the consequences of the lack of transportation, spareparts, control of the pressure and regular maintenance for the specific domestic points. A special aspect is the lack of involvement of the users in any way sofar in the maintenance of the water supply.

### 4. Impact Monitoring.

No documentation of ongoing monitoring of the impact of the project has been found.

The Socio-Economic study quoted the local health-authorities for claiming that the recession of certain diseases could be attributed to the improvement of the drinking water. It was rendered probable by referring to the recession in particular of the water-related diseases, i.e. malaria, bilharziosis, diarrhoea, etc., and by comparison of the frequencies of those diseases in the central areas of the district, not covered by the water project.

The Review of December, 1986, emphasized, that mobilization of the users should be made with a view of developing a sense of responsibility for the supply, cleaning, daily care and reporting of break-down.

No studies of impact have been seen since 1986.

### 5. Indicators Outlined and Implemented.

As understood from the above, specific indication of the progress, effects and impact has not been outlined in the available documents, but a monitoring system is supposed to be designed and implemented by the consultant during the rehabilitation phase.

### 6. Follow-Up by Danida.

During the first construction phase the project area was visited occasionally by the representatives of the mission in Dar, e.g. as seen from reports of July, 17, 1979, January, 8, 1981, and November, 9, 1981. By the end of 1982, the project was probably regarded as completed.

The visit by the State Auditors in August, 1984, brought into focus the need for rehabilitation and completion, and several

studies and project proposals were elaborated. However, the final agreement was not concluded until the end of 1987, and the new phase is supposed to have started during 1988. The files do not show any developments until November, 1990, where contemplations of another Review to be fielded in May-June, 1991, are ongoing.

No monthly progress reports after the inception of the rehabilitation phase are seen in the files.

#### 7. Institutionalisation of the Monitoring.

Apart from the limited training of the villagers in reporting of break-downs in the water supply, the responsibility of the monitoring is vested in the consultancy firm. As such, the institutionalisation of the future monitoring is dubious.

#### 8. Major Project Documents:

Socio-Economic Study, September, 1986  
Review, December, 1986  
Project Proposal, November, 1987  
Government Agreement, September, 1988.

Annex 10.

Project Summary

Ref.No.: 027

Jour.No.: 104.Bang.42 Office: DB.3

Country: Bangladesh Sector: Multisector, 09 Status: On-Going

Title: Rangpur Dinajpur Rural Services (RDRS).

Incepted: September, 1977

No. Appropriation: 5

Project Type: Untied Grant 1st Project Period: 1977-78

Total Appopr.: DKK 55.3 mio. Total Exp.: DKK 43.6 mio.

Project Admin.: Folkekirkens Nødhjælp (FKN) and Lutheran World Foundation (LWF).

Project Organisation: The fieldorganisation is Rangpur Dinajpur Rural Services (RDRS) with headquarters in Dhaka, and independant programmes in Rangpur and Dinajpur districts. Funds are channelled to FKN via LWF in Geneva from Danida. RDRS agrees with the local authorities and the central Bangladeshi agencies on it's programmes. A number of expatriate Advisers are working in the organisation together with national Managers. The Danish annual funding is about 10-20 % of total funds.

Background: RDRS developed as a relief organisation during and in the immediate years after the liberation war in 1971, and has continued as an integrated rural development programme aimed at the poorest segments of the population. During the 70s and 80s the programme comprised projects within agriculture, irrigation, health-education, domestic industries, infrastructure and disaster preparedness. In latest years the programme has been reorganised into two projects: Rural Works Project, i.e. infrastructure support to the local authorities with a fresh emphasis on environment and ecological sustainability, and the Comprehensive Project, i.e. intensive human development assistance to the poorest of the poor.

Development Objectives: To assist all the poor people in the working area to achieve an assured and sufficient means of livelihood and social equality.  
(the Comprehensive Project)

Immediate Objectives: Facilitate the organization of the poor.  
Increase the literacy rate among the poor.  
Facilitate social awareness among the poor.  
Facilitate development of social security among the poor. Assist the users to increase their income and maintain their assets. Improve the nutrition of the poor. Improve the health of the poor. Reduce the population growth. Mitigate the effects of natural disasters.

Activities:

Formation of groups, where awareness building and functional education will be introduced. Technical assistance in the areas of agriculture, income-generation, literacy, health, and legal and social rights will be made available. Total staff is about 1.800.

**Monitoring the RDRS.**

1. Monitoring in General.

During the 70s less emphasis were put on monitoring. Since 1980 the RDRS has regularly improved the monthly and half-yearly reporting, though each project unit sets it's own target for the coming half-year and usually one year. A Danida-review suggested in June, 1986, that 'the present large amount of dat available in the programme should be more systematically collected and anlysed in order to better document and distribute results outside RDRS and give the management a tool for monitoring and planning'. It also proposed, that Danida could assist in setting up a new monitoring system.

However, the LWF simultaneously suggested, that the monitoring function 'to be upgraded to provide adequate intelligence on integrated programme delivery under the new Comprehensive Project. By 1988, a special unit may be created in Rangpur, headed by a Researcher on a par with RDRS Programme Administrators. The unit in addition to supervising the monitoring of field units and compiling their reports should also be doing special research and studies to document relevant experiences in rural development'.

Accordingly, with the reorganisation of the programme, introduced as pilot schemes in 1987, a Planning, Monitoring and Evaluation Unit, staffed with an Adviser, 6 professional staff-members, etc., was established in Rangpur. Baseline surveys in the working-areas of the Comprehensive Project were carried out to determine targets and indicators of progress and effect.

2. Progress Reporting.

Until the end of 1981, the progress reports of RDRS were only assessive statements of the achievements, as described in Quarterly Progress Reports, forwarded to the donors of the programme. Realised among others by FKN, that the quality and format was not up to the mark, they were changed into Semi-Annual Implementation/Monitoring Reports from January, 1, 1982. They gave for all activities and projects break-down of the physical and financial plans and budgets, as well as information on expenditures and physical achievements. In many cases, reasons for delays or changes, and action taken, were also contained. Data were collected by the field-staff, and via the Project Managers compiled at the Dhaka office into a comprehensive



report, which again was aggregated into the Annual Implementation/Monitoring Report.

With the introduction of the Comprehensive Project specific targets for each of the activities were formulated, e.g. number of literacy classes to be 300 in 1987 gradually increasing to 1.500 in 1991, number of families assisted from the baseline figure of 15.000 in 1986 to 116.000 in 1991, the percentage of member households using tubewell water for drinking and cooking from 25 % at baseline to 50 % in 1991, etc. Data were still to be collected by the field-staff of the project, but now the PME-Unit will compile it, and make field-checks, if needed. The frequency of the reports varies depending on the subject matter.

However, though the data and information might be available, it looks from the files, that only the normal Annual Report for publicity purposes has been forwarded to the Danida.

It is assumed, that internal review-meetings take place within the RDRS-management, but no donor-participation is known.

### 3. Effect Monitoring.

Monitoring of effects did not take place until the system of monitoring the Comprehensive Project was introduced. For each of the immediate objectives specific indicators have been formulated, a baseline established and targets for the year 1991 set. In the Planning and Monitoring Document, June, 1987, many of the indicators, confusingly are called 'progress indicators', though they in reality indicate the effects of the implementation of the planned activities, and not the physical achievement of inputs/activities. E.g. the field-staff will distribute safe delivery kits to the member households to be monitored by progress indicators. But in the quoted document the 'progress indicator' is defined as 'the percentage of births using safe delivery kits', which is exactly the effect to be monitored. However, though it is assumed, that the new PME-Unit has followed-up upon the work of the baseline and the setting of targets with ongoing monitoring since then, no reports are available in the files of Danida. A field-investigation is needed to clarify the issue, and check the content of any report on the spot, in particular for how the data is collected from the field.

A general point is, that all the indicators and targets only relate to the members of the groups, formed by the RDRS. As such, it is precisely the beneficiaries of the activities, tallying with the definition of 'effects'. On the other hand, the target group might be larger, and intended or unintended effects outside the membership group are not reported by the system. Comparison with 'control-groups', e.g. by using local statistics might be made (they have been utilised at the establishment of the baseline data), but since reports are not available, we don't know the utilisation.

### 4. Impact Monitoring.

As the system set up is essentially monitoring the effects among the beneficiaries of the RDRS-activities, data on the long-term

results among the wider population will not be provided. However, as the activities aim at the 'poorest of the poor', it is obvious, that fulfillment of e.g. the target of coverage of '28 % of the households in the working-area' and 'federations (of groups) will be active in all the 57 unions and in all upazilas' will have an important impact of organization of the poor

Similarly, qualitative improvements for even a limited number of people, e.g. 'number of marriages without dowry will increase among the program users to 10 %' is of an innovative character, the impact of which could be considerable. In this way, progress or effect indicators, even among only the beneficiaries, might give an indication of overall impact in the project area.

Depending on the character of the indicator, and the actual reporting, which is still to be seen, some impact monitoring might be provided.

#### 5. Indicators Outlined and Implemented.

Below is given an additional number of examples of indicators, not mentioned in text so far. Since information of the implementation of the indicators is not available in any case, this column has been omitted:

##### Outlined

##### Progress

No. of all women group members, who utilise their savings funds for joint economic projects. (from 400, 10 %, to 16.000, 35 %)

Average no. of trees per member household home-  
stead plot. (from 26.80 to 55)

##### Effects

Daughters of group members, who are eligible for Class I-V, will be attending school regularly. (from 7 % to 15 %)

The percentage of member households using tubewell water for drinking and cooking. (from 25 % to 50 %)

Percentage of fertile couples in group member households using family planning methods. (from 5 % to 10 %).

##### Impact

The birth rate in the target population will decrease from 41/1000 to 27/1000.

The percentage of children in the target group being 2nd and 3rd degree malnourished will be reduced from 10 % to 7 %.

## 6. Follow-Up by Danida.

RDRS has been visited quite often by official delegations from Danida, or informally by Danish representatives from the mission or Copenhagen. Apparently, because the programme is managed well, the staff is motivated, and many innovations have been seen here. Among the visitors have been MP and administrator in Danida, Poul Nielson, who made the first important report on RDRS in June, 1977. In June, 1979, and in March, 1981, it was visited by D.6, and the mission made a report in December, 1982, stressing 'that it was not any serious evaluation, but Danida can continue to support the project'. In 1983 another visit was made with representatives from both the mission and Copenhagen.

Before the usual re-application from FKN for another 3-year funding by the end of 1985, a Review/Appraisal was fielded in March, 1986, reporting a.o. on the need for improving the monitoring system, as mentioned above, but concluding, that the programme was functioning well. Danida has finally approved continued funding in May, 1989, for the period 1989-91 with the remark, 'that FKN should not consider exemption from own contribution by future applications, if any'. It has also been noted, that 'RDRS does not plan a withdrawal of the present project area this side of the century'.

An outstanding issue between the mission and Copenhagen has been who should receive the reports from the RDRS, since the normal procedures of LWF is to forward them to FKN (and other member-organizations), who should then forward them to the donors. However, a double-procedure of forwarding both directly from the RDRS-headquarters to the mission, and from FKN to Danida, seems to have been working during most years. The issue of course somewhat reflects the problem of who is to monitor an NGO-operation, funded from abroad: the local mission, or the main office with the contacts to the national office.

The RDRS has not been evaluated by Danida yet, but evaluations commissioned by the LWF have been a regular feature. Reports of the missions fielded in April, 1980, July, 1983, and November, 1986, have been forwarded to Danida. In all cases, the FKN have had representatives on the missions.

## 7. Institutionalisation of Monitoring.

As RDRS is an autonomous organisation, though working on agreement with the GoB and it's local authorities, the monitoring systems of the organisation are aimed at the programme management itself, the main office of LWF in Geneva, and possibly also the funding donors. As far as seen from the files, no emphasis is placed on training or transferring monitoring skills to the government agencies, or to give feed-back to local authorities.

On the other hand, there is no doubt, that the field-staff of the organisation is receiving a very intensive training in monitoring techniques, and more important, is exposed to a heavy influence of change of attitudes. Since some of the staff-members might work elsewhere in their future career, in this way the RDRS-

monitoring system might be institutionalised in other organisations.

8. Major Project Documents.

Quarterly Reports, 1977-1981, RDRS.

Implementation/Monitoring Reports, 1982-1986, RDRS.

Annual Reports, 1977-88, RDRS.

Planning and Monitoring Document, Comprehensive Project, June, 1987. RDRS.

Statement of Needs (SON), 1989. LWF.

Evaluation Report, April, 1980, LWF.

Midterm Evaluation, March, 1983, LWF.

Review/Appraisal, June, 1986. Danida.



Annex 11.

Project Summary

Ref.No.: 820      Jour.No: 104.Sudan.17      Office: DB.2.

Country: Sudan      Sector: Public Utilities, 02      Status: Ongoing

Title: Drinking Water Supply Project.

Project Type: Untied Grant      No. Appropriations: 1

Incepted: May, 1989      1st Project Period: March, 89- Dec., 90

Total Appopr.: DKK 2.02 mio.      Total Exp.: DKK 2.02 mio.

Project Admn.: Adventistsamfundet i Danmark.

Project Organisation: The project is implemented by the Adventist Development and Relief Agency/Sudan (ADRA/Sudan) in agreement with the National Water Corporation, and in collaboration with the Rural Water Authority (RWA). ADRA/Sudan is operating from a headquarter in Khartoum, staffed by a Project Director and a Technical Co-ordinator (ex-patriates), and the field-work takes place in the Central Region (Northern and Upper Nile Provinces).

Background: ADRA/Sudan has been working since 1981 with programmes of Primary Care, Community Development, Emergency Foodsupply, Family Garden Training, etc., and since 1985 with Water Drilling, funded by a.o. the EEC, NORAD and Danida.

Development Objectives: To secure the Sudanese population access to clean water, and in this way improve the living-conditions of the population.

Immediate Objectives: Provide clean water to 30-35.000 people in 30-40 villages.

Activities: Rehabilitation of water sites, construction of wells and installation of 40 pumps.  
Training selected villagers and the local RWA-staff in the maintenance of the handpumps.  
Supply of tool sets and spareparts to RWA.  
Organization of village maintenance committees, and collection of maintenance funds.

The Danish Adventist Association will assist the project by sending two Advisers to ADRA/Sudan.

## Monitoring the Water Supply Project/ADRA.

### 1. Monitoring in General.

According to the general agreement between ADRA/Sudan and the National Water Corporation (NWC) on water development, covering the period October, 1, 1988, -September, 30, 1998, the ADRA is responsible for the coordination, management, evaluation and auditing of all project activities. No details of a reporting or monitoring system within the ADRA is available.

### 2. Progress Reporting.

It is stipulated in the general agreement with NWC , that quarterly reports are to be submitted to the Water Corporation and regional governmental bodies involved.

In the project proposal of ADRA it is stated, that bi-annual progress reports will be submitted to all interested parties, including donors, the NWC and RWA offices, etc.

The appropriation of Danida is subject to reporting at regular intervals.

However, no progress reports are seen in the files of the project.

### 3. Effect Monitoring.

The project proposal does not contain any indication of how the effects of the project activities may be monitored or evaluated, or how the use of the benefits produced might be assessed.

Since no reports at all are available, no information on how assessments might have been implemented is supplied either.

### 4. Impact Monitoring.

The situation regards assessment of impact is similar to the effect monitoring.

### 5. Indicators Outlined and Implemented.

No indicators outlined or implemented, as far as we know.

### 6. Follow-Up by Danida.

The project proposal has been scrutinized by DB.5 before approval of the Board of Danida. Due to the small size of funding, only desk-appraisal has been carried out.

The office of ADRA/Sudan in Khartoum and some slum-areas, not part of the project, but supplied with similar wells and

handpumps, were visited by a representative of the Danida mission on March, 12, 1990. The impression was, that the water supply was utilized by many poor people.

7. Institutionalisation of the Monitoring.

No plans for anchoring a monitoring system in the governmental system or any other organisation are seen, apart from the training of RWA-staff and the villagers in maintenance-reporting.

8. Major Project Documents.

Agreement for Development of Water Resources, ADRA/Sudan and NWC, October, 1988.

Project Proposal (Application), Adventistsamfundet i Danmark, February, 1989.

**Annex 12.**

**Project Summary**

Ref.No: 256      Journ.No.: 104.Bang.102      Office: DB.3

Country: Bangladesh      Sector: Public Utilities,02      Status: Ongoing

Title: Water Supply and Sanitation Project in Noakhali-area  
(phase 1: Chaumohoni and Lakshmipur).

Project Type: Untied Grant      No.Appropriations: 1

Incepted: April, 1990      1st Project Period: 1989-94

Total Approp.: DKK 20.5 mio.      Total Expend.: 0.

Project Adm.: Danida and Department of Public Health Engineering  
(DPHE), GoB.

Project Organization: Under the administration of Ministry of Local Government, Rural Development and Co-Operatives (Local Government Division), the project is executed by the DPHE with the Exec.Engineer, Noakhali Div., as Project Director. DPHE and the Municipalities of the townships Chaumohoni and Lakshmipur will be responsible for operation and maintenance. A Danish consultancy firm is implementing hydrogeological investigations, designing the engineering details and training the technical staff. Danida is recruiting one Technical Adviser for the construction phase, and one Socio-Economic Adviser, in-charge of a Communication and Action Research Unit (CARU) to train and monitor the operation and maintenance activities.

Background: The preparation of the project has been elaborate and ongoing since 1985. It was intended as an improvement of the water supply and sanitation in the 13 smaller townships (upazila headquarters) of the (old) Noakhali district, but so far only phase 1, comprising the district towns of Chaumohoni and Lakshmipur, has been approved by GoB. The planning of the project is based upon experiences from the DPHE/UNICEF-projects in the rural areas, supported by a.o. the Danida, and to some degree on the knowledge gained from NRDP-2.

Development Objectives:

To improve the health conditions of the population in the Pourashava centres (resident as well as floating) through an integrated approach in water supply, environmental hygiene and health promotion.

To operate and maintain the system for 2 years after installation of the physical component, so that during this period a sound management system can be developed, and the system can be operated self-sufficiently after completion.

Immediate Objectives:

To implement the technical components necessary for an improve-



ment in health conditions,...

To improve the behavioural and attitudinal pattern of the beneficiaries with respect to water and environmental hygiene,

To ensure the financial, technical and administrative sustainability of the project, ..

To create a model project that can be replicated fully or partly under similar conditions.

#### Activities:

Design and construction of piped water systems in the core areas providing private house connections, semi-private house connections and public standposts. Hand tubewells in the fringe areas. Design and construction of latrines and public toilets. Rehabilitate and provide new drains in the core areas. Design and construct waste collection point. waste transportation systems and dumping grounds.

Training and communication with staff, officials and users. A health education programme to improve awareness and behaviour. Involvement of the users in planning, implementing and maintaining the facilities. Establishment and functioning of a monitoring system and short studies of project aspects.

### **Monitoring the Noakhali-Water Supply and Sanitation Project.**

#### 1. Monitoring in General.

The monitoring of the physical progress of the hardware activities is the responsibility of the project management, i.e. the Exec.Engineer, while the monitoring of the software activities (training, health education, community participation) and the monitoring of the effects and impact of the project is to be done by the CARU with reference to the Project Director. During the design-phase, the consultancy firm is also to submit progress reports. The monitoring systems are to be developed during the design phase, and the following is the outline as described in the project documents.

A number of studies provide a baseline for the monitoring system to be established. A Study on the Project Area, implemented by a local consultancy firm to map and describe all 13 upazila-centres, was made in March-July, 1986. A Danish consultancy firm simultaneously made a Project Preparation Study, finalised by the end of 1986. And finally, and most important, a Socio-Economic Feasibility Study for the Operation and Maintenance of the water supply, sanitation and drainage systems in Chaumohoni and Lakshmipur was carried out by two Danish consultants, very experienced in the Noakhali-area, assisted by a local consultancy firm, and members from the M & E Unit, NRDP-2, during August-October, 1988.

## 2. Progress Reporting.

The Project Director will submit monthly physical and financial statements, and consolidated quarterly, halfyearly and yearly report in standard IMED-formats to DPHE (i.e. the formats of the MLGRDC, Inspection, Monitoring and Evaluation Div.), and the monthly and yearly reports will also be submitted to Danida. The project will also prepare semi-annual activity and progress reports, to be prepared by the Exec.Engineer, assisted by the two Danida Advisers, on the basis of the monitoring data collected by CARU. As the data will also form the basis of the next planning exercise, there will be an integrated semi-annual cycle of monitoring, reporting and planning.

The consultancy firm is supposed to submit quarterly progress reports of their 8-months work. Progress Report No.1 has been forwarded from the mission in Dhaka to Copenhagen on November, 26, 1990, according to the files (the copy is lying with DB.5).

The Socio-Economic Adviser is according to the ToR to submit monthly progress reports to the Project Manager, and to assist him in submitting the quarterly consolidated progress reports. As the designated Adviser is still to be approved by GoB, and he's presently only on a short-term assignment in the project area, no reports from his side is yet available.

The Pourashava Water Supply and Sanitation Committee will revie the progress every three months, preceeded by Ward Committees-meetings. Semi-annual review-meetings are to be held, chaired by the Pourashava Chairman, and with participation from DPHE, Danida, the Project Manager and the Advisers.

## 3. Effect Monitoring.

The effect monitoring will be concentrated on the extent of the use of the facilities provided, and the knowledge, attitudes and practices ('KAP') of the population regarding health. Questions to be answered are e.g. if there are enough public toilets or latrines, and if they are accepted, are the solid waste facilities functioning properly, are there sufficient waste collection points, etc. The suggested indicators are shown below.

## 4. Impact Monitoring.

The measurement of impact is related to the overall objective of the project, i.e. the improvement of the health conditions of the population. Though difficulties of measurement and factors outside the project exist, data for a few indicators of health standards could be collected over the long-term to try to see if they are improved, e.g. the number of diarrhoea cases reported by the health centres. Short studies are to be undertaken during the construction-and the post-construction phases. The suggested indicators are shown below.

As the inception of the project is delayed, in particular the CARU-activities, no reports of effect-or impact-monitoring are yet available.

## 5. Indicator Outlined.

### Progress

No. of public facilities installed (public latrines, tubewells, standposts, drains, pipes laid, etc.).  
No. of cases, where the UNICEF-Integrated Approach has been applied.  
No. of household latrines installed.  
No. of user groups formed.  
No. of persons having received training of various categories.

### Effects

Quality of installations (design, technical, water quality). training programmes and health and hygiene education activities.  
Participation of users in the water supply and latrine construction programme, tubewell application, site selection, maintenance and use.  
Role of PWSSCs and Ward Committees in tubewell and standpost allocation and degree of user involvement.  
Women's involvement in the process of allocation, selection, education and the caretaker programme, etc.  
Realisation of revenue for maintenance.  
Formation of user groups and their motivation.  
Degree of motivation to apply self-help for the construction works.  
The functioning of the UNICEF-approach, if applied.  
Use, maintenance and duration of latrines constructed.  
The functioning of the collection and disposal of solid waste.  
The functioning of the drainage systems.

### Impact

Changes in water use practices (e.g. use of tubewell water for purposes other than drinking, use of tubewell only).  
Level of usage and maintenance of private and public water supply installations and latrines.  
Changes in standards and practices of household and personal hygiene.  
Changes in solid waste disposal practices.  
Reduction in water-related diseases (longer-term impact).

## 6. Follow-Up by Danida.

During the preparations the project-area has been visited frequently by the consultants, and the Technical Advisers. Since the area is part of the project-area covered by NRDP-2, it is envisaged, that also during implementation visits will be frequent.

Reviews are scheduled at the end of the design-phase and at the time of commissioning of the installations. An evaluation is scheduled one year after completion of the project, to be

preceded by an impact-study.

#### 7. Institutionalisation of the Monitoring.

The major part of the progress monitoring is part of the normal governmental reporting system

The effect-and impact-monitoring will be implemented by a project-unit, and the experiences gained will as such not necessarily be institutionalised in any government institution or the local community. However, as it is an important feature of the approach of the project to train and communicate with the users and the Pourashava-authorities, it might be feasible to transfer some of developed systems and anchor it locally.

#### 8. Major Project Documents.

Project Preparation Study, December, 1986.

Project Proforma, DPHE, November, 1987.

Socio-Economic Feasibility Study on the Operation and Maintenance, November, 1988.

(Desk)-Appraisal, July, 1988.

Draft Plan of Operation, December, 1988.

Revised Plan of Operation, March, 1989

Government Agreement, April, 1990.



Annex 13.

Project Summary

Ref.No.: - Journ.No.: 104.0.27.Bhutan.1/2 Office: DB.3.1  
Country: Bhutan Sector: Public Utilities, 02 Status: Ongoing  
Title: Urban Centers Water Supply and Sanitation SubProject  
(UCWSS)  
Project Type: Tied Grant No. of Appropriations: 6  
Incepted: July, 1985 1st Project Period: 1985-1988.  
Total Appopr.: DKK 23.4 mio. Total Exp. DKK 23.4 mio.  
Project Adm.: Danida, Asian Development Bank (AsDB) and National  
Urban Development Corporation (NUDC)/Dept. of Works  
and Housing (DWH).

Project Organisation: Under the overall coordination of the Planning Commission, GoB, the NUDC (later re-organised as DWH) is implementing the Asian Development Bank-funded project, headed by the Secretary (Director), of supplying water and sanitation facilities to 6 towns. The NUDC is assisted by a Danish consultancy firm, contracted by Danida, in the tasks of detailed design, construction supervision, including training of operation and maintenance personnel, tariff study, institutional study and feasibility study on sewerage systems in 3 major urban centers. The Danish firm has had a permanent Project Office during 1985-90, and has subcontracted part of their work to Indian engineering companies.

Background: As part of the Second Multi-Project Loan the physical construction works are funded from AsDB. Since the Danish firm had carried out the feasibility-study, it was suggested from GoB, that they should assist the NUDC during implementation on a Danida-funded contract. However, implementation has faced many constraints, delaying the completion considerably, and requiring a number of addenda to the original arrangements. Danida has finally withdrawn it's involvement by June, 1990, while the consultancy assistance for the final completion, envisaged in mid-1990, is funded by GoB and AsDB.

Development Objectives: Improvements of the health and sanitation of the urban population?

Immediate Objectives: Construction of water supply facilities, sanitation. Training of staff in operation and maintenance.

Activities: (the tasks of the consultant)  
Review the water feasibility studies prepared previously.  
Prepare detailed design for the water supply facilities in 6 urban centers. Prepare full feasibility studies for sewerage facilities in 3 towns. Assist NUDC in the supervision of construction. Provide on-site training and prepare a report on water losses.

## Monitoring the UCWSS-Project.

### 1. Monitoring in General.

It is the task of NUDC, with the assistance of the consultant, to establish a monitoring system vis-a-vis the AsDB, identify appropriate indicators 'to monitor and evaluate social, technical and economic factors which may influence or be influenced by the UCWSS subproject. NUDC is to collect data and monitor the various factors to assist the Government and the Bank evaluate and influence the success of the subproject in achieving its objectives'. The assistance by the consultant is specified to the identification of appropriate indicators, the application of the factors and actual evaluation of the benefits, and the preparation of reports. At the same time, the consultant is to submit progress reports to the Danida.

The preparatory studies, the Tariff Structure Report and the Institutional Studies Report, are supposed to contain valuable information to establish a baseline for the monitoring. However, as they (according to the files) are lying with a former Technical Adviser, they have not been available.

### 2. Progress Reporting.

No copies of progress reports from NUDC to AsDB have been found. According to the Memo of Understanding between AsDB and GoB, December, 1984, NUDC is to submit Annual Reports to the Bank for a period of five years beginning two years from the effective date of the loan agreement.

The consultant has very regularly submitted Monthly Progress Reports to Danida, with copies to NUDC, AsDB, etc. From inception until July, 1988, the content however was limited to a description mainly of the activities of the Project Office and its staff and less on the progress of the construction works. From the report of July/August/September, 1988, the actual progress of the work with estimates of percentages and bar-charts have been supplied.

Review-meetings with participation of the consultant, NUDC, engineering-companies, etc, are frequent, and visits to the sites are undertaken on a daily basis by the consultant and the local staff.

### 3. Effect Monitoring.

Since the physical phase of construction is not yet completed, the intended and prescribed effect monitoring (termed 'project benefit monitoring' by the Bank) has not been implemented either. The indicators suggested, without limitation, are shown below.

### 4. Impact Monitoring.

The Bank planned to evaluate the achievements of the project after completion, and for this purpose some indicators should be monitored, e.g. reduction in the incidence of water-borne and

water-related diseases. As far as may be seen from the available documents, this has not taken place.

#### 5. Indicators Outlined and Implemented.

	<u>Outlined</u>	<u>Implemented</u>
<u>Progress</u>	No. of works completed Funds expended	No. of works completed % of works completed Expenditures
<u>Effect</u>	Reduction in water leakage and wastage Reduction in unit cost of water Increase in service ratio and per capita consumption Improvement in treated water quality	
<u>Impact</u>	Reduction in the incidence of water-borne and water-related diseases	

#### 6. Follow-Up by Danida.

The follow-up activities by the offices of the Technical Advisers and DB.3 has been quite substantial. Through numerous meetings in Thimphu mainly, but also in Manila and occasionally in Copenhagen the constraints of the progress have been discussed with participation of representatives from all parties, or those, who managed to be present (the natural and manmade obstacles are unusually large, when three parties so far away from each other are to collaborate). Reviews are the responsibility of the Bank, with a possibility for Danida to participate, and have been carried out from time to time. Site-visits are rare, but took place e.g. in September, 1988, during a tripartite review.

A difficulty in particular for the follow-up is the lack of direct communication to Bhutan, restrictions of visa, and the nearest Danida mission being located in New Delhi.

#### 7. Institutionalisation of Monitoring.

It is difficult to assess from the available documentation what sort and extent of training regarding monitoring, data-collection, etc., has been imparted to an institution like NUDC. The collaboration between the consultant and the government officers has obviously been quite smooth (too close, it is claimed by some observers), but it is not probable, that techniques of effect- or impact monitoring have been transferred in the process, since this type of work has not been initiated as yet.

#### 8. Major Project Documents.

Memorandum of Understanding on the Second Multi-Project between AsDB and GoB, December, 1984.

Memorandum of Understanding on Tripartite Meeting Among the GoB, and the missions from Danida and AsDB, February, 1985.

ToR for SubProject Consultant, April, 1985.

Memorandum on Agreement between AsDB and Danida, August, 1985.

Monthly Progress Reports, August, 1985 - October, 1990.

Institutional Building Report, January, 1986 (not located)

**Annex 14.**

**Project Summary**

Ref.No.: 213    Journ.No.: 104.Malawi.31    Office: DB.1.2

Country: Malawi    Sector: Public Utilities,02    Status: Ongoing

Title: Karonga Lakeshore Integrated Rural Groundwater Supply

Project Type: Untied Grant    No. of Appropriations: 1

Incepted: March, 1987    1st Project Period: 1985-1994

Total Appopr.: DDK 11.3 mio.    Total Exp.: DKK 4.0 mio.

Project Adm.: Danida and GoM, Water Division (Ministry of Works and Supplies), Groundwater Section.

Project Organization: The project is implemented under a management contract between Danida and two Danish consultancy firms 'the Association', and based upon active community involvement through labour-contribution, site selection, planning and organization of the Main Committee of the Project, Village Water Committees and Pump Committees.

Background: The project is based upon the valuable lessons of water development in other areas of Malawi, in particular the unique level of community participation in the rural piped water programmes, which is now being replicated in the integrated rural groundwater supply projects. Preparations for the project were made from early 1985, but actual work did not start until March, 1987, so the completion of the construction phase is extended up to April, 1991, it is recommended in the latest review (December, 1990). Funding for the operation and maintenance phase will continue until April, 1995, though being gradually reduced each year. Technical assistance is to be withdrawn by March, 1993.

Development Objectives: Improvement of basic living conditions in the KIP project area by the year 2000.

Intermediate Objectives: VLOM concept working without expatriate assistance by 31st March 1993, and beyond.

50 % of all households have a latrine with a san plat by 31st March, 1995.

Activities/Inputs: (related to monitoring only)

Executing, testing and modification of the monitoring system.  
Training and refresher courses for all involved parties.  
The completed baseline study and monitoring system for sociological aspects.

A monitoring system for technical aspects.

Support from Center f. Social Research on a regular short-term basis for monitoring.



## Monitoring the Karonga Lakeshore Groundwater Supply Project.

### 1. Monitoring in General.

Monitoring of the project was planned to be covered through 10 series of exercises throughout the project period, focusing on the operation and maintenance and the community participation. Originally a local consulting firm was designated to implement this, but only one report was forthcoming in June, 1988. The need for another strategy for monitoring the progress of the project, including a baseline survey was recognised, and the Centre for Social Research (CSR), University of Malawi, was recommended for the task with external assistance.

The baseline survey was carried out in March, 1990, and proposals for a monitoring system worked out. However, they are regarded as 'unworkable', and it is now recommended, that the CSR and the project design the future monitoring activities to be ready for the operation and maintenance phase by April, 1991. The system should relate to the project objectives, (as outlined in Logical Framework matrix by the Review-mission), and the project staff will perform the monitoring duties. Two studies are recommended to be carried out during the first year of the this phase, followed by ongoing activities during the second year.

### 2. Progress Reporting.

Only one progress report for the local consultancy firm seems to have been produced by June, 1988. Further, it's value was limited. During 1989 attempts were made by the project staff to collect data from the villages, but with insufficient capacity it was not sustained. Since July, 1, 1990, progress reports are actually being produced in Karonga. Whether they relate to the targets of activities/outputs, is not known.

A special, but very important feature has been raised by the Baseline Survey, i.e. the spatial monitoring of the project activities. So far, no effort has been initiated to establish an overview of the population and households coverage, achieved by the project, seen in relation to the siting of the water supply facilities. The Baseline Survey indicates, that the coverage is not adequate, raising doubts about future abilities to bear the costs of of the maintenance of the pumps. The recent Review suggests, that the Pump Committees registers the households using the pump, and keeps it up-dated.

### 3. Effect Monitoring.

Technical and sociological monitoring is intended to be fielded during the operation and maintenance phase. Targets for the water supply facilities (activities and outputs) have been formulated, and can be seen as indicators, and the data is to be collected through the two studies mentioned above. It is however, doubtful

if the time and capacity of the CSR allow the plans to be followed. More specific indicators are not contained in the LFA-matrix, and the system (means of verification) for the ongoing monitoring is not outlined.

#### 4. Impact Monitoring.

It is suggested, that the overall impact of the project is indicated by improved health-conditions, as derived from health statistics, and increased agricultural production, as derived from Ministry of Agriculture statistics. It is not clear, however, if such statistics, reflecting the actual project area and the timing of the project do actually exist.

#### 5. Indicators Outlined.

The LFA-matrix appended in the Review-report, December, 1990, describes in great detail the objectives and targets to be set for the project. However, as indicators of the different levels of output/activities (for progress monitoring), of project objectives/intermediate objectives (for effect monitoring) and of development objectives (for impact monitoring) are only mentioned the suggestions for the long-term impact, as discussed in para 4.

The proposal of 'CSR monitoring' and Danida-evaluations is rather a means of verification, and not indicators. Thus, an important task of specifying the indicators lies ahead.

#### 6. Follow-Up by Danida.

Without scrutinising the files, it is obvious from the frequent, yearly reviews, that the project has been followed closely by the Technical Advisers and the regional office. In particular the last review emphasizes the need for the establishment of an improved monitoring system, both technically and 'sociologically'.

It is an interesting suggestion, that the Association of consultancy firms shall carry out a sociological 'audit' by Spring, 1992, as a quality assurance, following the LFA-matrix. This would, if properly carried out, expose the development and maldevelopments of the intended future monitoring system of the operation and maintenance phase. In particular, it will probably reveal, if the distribution of implementing roles (i.e. the Water Department, Danida, the Association, the CSR, the users, etc.) for this purpose was made clear enough.

#### 7. Institutionalisation of Monitoring.

The monitoring system to be built up rests basically on additional inputs from e.g. CSR, the proposals of the review, and maybe external assistance, while the future up-keeping is dependant on the sustainability of the field-staff, the Pump Committees, and

the other elements of the VLOM-approach. Since the funding for the coming phase is provided, the maintenance of the monitoring system in itself should be rather safe. But since the training of the staff and committees, the design of the system, elaboration of formats, schedules, supervision, etc. is delayed at least, and presently only sketchy outlined, the institutionalisation as a routine procedure is questionable.

On the optimistic side, a monitoring system giving feed-back directly to the users, is believed to have better chances of functioning than a system relying on formal governmental purposes.

#### 8. Major Project Documents.

Evaluation of four water supply projects, and Appraisal of Karonga Lakeshore integrated rural groundwater supply project, vol.1, April, 1985.

Plan of Operation, November, 1987 (not studied).

Review, June, 1988.

Review, June, 1989.

Review, December, 1990.

Annex 15.

\*\*\* MINISTRY OF DEVELOPMENT COOPERATION \*\*\* PROJECT MAIN SUMMARY (MILL NOK) PAGE 5

Project No. & Name : ZAM-0034 FISH CULTURE NORTHERN PROVINCE Main Chapter : 0150.72.16

Dept./Div. : AFR /NATR Project Group : 11 Proj. Status : 2 Date printed : 25.01.91  
Officer N/R : W /SIB Sector : 35 Recipient : 011 (P) Updated : 14.04.90  
Rep. resp. (=U) : U Aid Form : 01 Expend. to : 31.12.90

Agreement No. Description	Agm Phase	Apprv. MDC	Agm ! Sign. !	Incl. ! 1989 !	1990	1991	1992	1993	1994	From ! 1995 !	Total
22 SECT. AGREEMENT II	3		03.87 !	3.823 !	3.000						6.823
Signed Agreements			(A) !	3.823 !	3.000						6.823
Total Allocations			(T) !	3.823 !	3.000						6.823
Main Chapter: Current Planning Fig. (P)				5.006 !	3.002						8.008
Expenditure			(E) !	3.823 !	4.061						7.884
			(P-T) !	1.183 !	.002						1.185
Other Chapters: Current Planning Fig. (P)				.643 !							.643
Expenditure			(E) !	.640 !							.640

Agm. 1: Before MDC Approval  
Phase 2: After MDC Approval  
3: After Sign. Agm.  
4: Payments completed

Proj. 1: Planning Stage  
Status 2: Implementation  
3: Proj. Completed

PROJECT DESCRIPTION

Development objective: Increased consumption of fresh fish in the Northern Province. Immediate objective: Increased production of fish by small scale farmers in Northern Province. Two main activities: Upgrading of Misamfu. Extension and training of farmers and extension personnel.

\*\*\* MINISTRY OF DEVELOPMENT COOPERATION \*\*\*

## PROJECT ACCOUNT PLAN (MILL NDK)

PAGE 6

Project No. : ZAM-0034  
Project name : FISH CULTURE NORTHERN PROVINCE  
Main Chapter : 0150.72.16

Date printed : 25.01.91  
(P) Updated : 14.04.90  
Expend. to : 31.12.90

[illegible]



\*\*\* MINISTRY OF DEVELOPMENT COOPERATION \*\*\*

PROJECT ACCOUNT PLAN (MILL NOK)

PAGE 7

Project No. : ZAM-0034  
Project name : FISH CULTURE NORTHERN PROVINCE  
Main Chapter : 0150.72.16

Date printed : 25.01.91  
(P) Updated : 14.04.90  
Expend. to : 31.12.90

Item	Description	Plan Exp.	Incl. 1989	1.qu 1990	2.qu 1990	3.qu 1990	4.qu 1990	1990	1991	1992	1993	1994	From 1995	Total
520	EQUIPMENT	P	.016											.016
		E												
*530		P	.003											.003*
		E												*
540	MAINTENANCE	P	.016											.016
		E	.016											.016
590	MISCELLANEOUS	P	.016		.002			.002						.018
		E	.016		.002			.002						.018
700	FINANCIAL SUPPORT	P	.704											.704
		E												
710	TRANSFER TO GRZ	P	1.085	.256	.948			1.204						2.289
		E	1.085	.256	.948	.964	.500	2.668						3.753
800	EXPERTS	P												
		E												
801	EXPERTS SALARIES.	P	.383	.134	.078	.033	.504	.749						1.132
		E	.383	.134	.078	.088	.058	.358						.741
802	EXPERTS, TRAVELS ABROAD.	P	.014	.030				.030						.044
		E	.014											.014
803	EXP. DISPERSED COSTS.	P	.380	.033	.068			.101						.481
		E	.380	.033	.068	.070	.073	.244						.624
841	SCHOLARSHIPS	P	.145											.145
		E	.145											.145
Main Chapter:		P	5.006	.615	1.299	.113	.975	3.002						8.008
		E	3.823	.586	1.199	1.276	1.000	4.061						7.884
Sum . . - 129		P	.003											.003
- 519		E												
- 530														
Sum 0167.11.61 - 180		P	.640											.640
		E	.640											.640
Sum project		P	5.649	.615	1.299	.113	.975	3.002						8.651
		E	4.463	.586	1.199	1.276	1.000	4.061						8.524

\*\*\* MINISTRY OF DEVELOPMENT COOPERATION \*\*\*

ACTIVITIES/TIME SCHEDULE

PAGE 9

Project No. : ZAM-0034  
Project name : FISH CULTURE NORTHERN PROVINCE

Date printed 25.01.91  
(P) Updated 14.04.90

Activity 0000 - 9999 No. Description	Responsible!	1990	1991	1992	1993	1994	Remarks
0000 FORMAL	/						*DONE ---PLANNED
0030 PROJECT SKETCH	FISK/LADU						APPROVED NORAD OCT 86*
0060 PRELIMINARY DECISION	NORA/MAWD						ANNUAL SECTOR MEETING OCT 86*
0070 PROJECT DOCUMENT PRELIMINARY	FISK/DOF						WORKED OUT DECEMBER 1986 *
0080 PROJECT DOCUMENT	NORA/DOF						APPROVAL ANNUAL SECTOR MEETING 1988*
0090 FINAL DECISION	NORA/MAWD						ANNUAL SECTOR MEETING OCT 1988
0200 PRESTUDIES	/						
0210 PRESTUDY SOIL HYDROLOG DOF /NORA Y MISAMFU							MARCH 1988*
0211 FINAL DESIGN MISAMFU DOF /NORA							BY INTERCONSULT SEPTEMBER 1988*
0300 MISAMFU	/						
0301 REHABILITATION MISAMFU	/						
0302 RENOVATION SUBSTATIONS DOF /							ISOKA CHINSALI KAOBE CARRIED OUT 1989*
0303 STOCKING FISH	DOF /						
0304 STOCKING DUCKS	DOF /						MOSCOW OR PEKING
0305 VEGETABLE GARDEN AND ORCHARD , AGROFORESTRY	DOF /						PONDS
0306 ADAPTIVE RESEARCH	DOF /						
0307 PIG REARING	DOF /						
0308 DEMONSTRATION UNITS	DOF /						

\*\*\* MINISTRY OF DEVELOPMENT COOPERATION \*\*\*

ACTIVITIES / TIME SCHEDULE

PAGE 10

Project No. : ZAH-003A  
Project name : FISH CULTURE NORTHERN PROVINCE

Date printed 25.01.91  
(P) Updated 14.04.90

Activity 0000 - 9999			1990	1991	1992	1993	1994	Remarks
No.	Description	Responsible						
0310	4 HOUSES FOR ZAMBIAN STAFF	DOF /	—					TO BE BUILT AT MISAMFU
0400	STUDIES/MONITORING	DOF /						
0401	SOCIO ECONOMIC STUDY	FAO /						REPORT MAY 1988
0402	BASELINE STUDY	DOF /						*STARTED 1988
0403	CONTINUOUS MONITORING	DOF /PPU	—	—	—			
0404	ANNUAL REVIEW	DOF /NORA	-	-				
0405	EVALUATION	GRZ /NORA			—			
0500	TRAINING	/						
0501	PROJECT MANAGER STARTED SEPTEMBER 88*	DOF /						UNIVERSITY STIRLING Manager 88/89*
0502	ASSISTANT PROJECT MANAGER	DOF /						ABROAD TIME UNCERTAIN
0503	2 SCOUTS DUCK PRODUCTION	DOF /						CHILANGA
0504	6 SCOUTS EXTENSION	DOF /	—	—	—			CHILANGA AND ON THE JOB
0505	DOF STAFF IN NORTHERN PROVINCE	DOF /	—	—				MISAMFU
0507	DOA STAFF	DOF /DOA	—	—				KASAMA FARM INST. FARM ERS TRAINING CENTRES
0508	PRESENT FISH FARMERS	DOF /	—	—	—			AT HOME. FTCs
0509	TRAINING NEW FISH FARMERS	DOF /VAP	—	—	—			
0550	EXTENSION	/						
0551	TO PRESENT FARMERS	DOF /VAP	—	—	—			IS AN ONGOING ACTIVITY

\*\*\* MINISTRY OF DEVELOPMENT COOPERATION \*\*\*

ACTIVITIES / TIME SCHEDULE

PAGE 11

Project No. : ZAM-0034  
Project name : FISH CULTURE NORTHERN PROVINCE

Date printed 25.01.91  
(P) Updated 14.04.90

Activity 0000 - 9999 No. Description	Responsible!	1990	1991	1992	1993	1994	Remarks
0552 NEW DEMONSTRATION FARMERS	DOF / DOA						MALE AND FEMALE
0553 FINGERLING PRODUCERS	DOF /						
0554 WOMEN'S GROUPS CAST NETS	DOF /						COOPERATE WITH LOAN INSTITUTION?
0800 PERSONNEL	/						
0801 POSTING ASSISTANT FISH CULTURIST	DOF /						MR. E.G. MACHISA*
0802 NEW FISH SCOUTS	DOF /						2 FEMALE SCOUTS 1988* 2 MALE SCOUTS 1989*
0803 ADDITIONAL WATCHMAN	DOF /						DELAYED
0804 CLERICAL OFFICER	DOF /						DELAYED
0810 FISH CULTURE ADVISER	NORA/GRZ						EXPATRIATE. FROM SEPT. 1988*
0811 SOIL & HYDROLOGY EXPERTIZE	SRZ /DOF						INTERCONSULT MARCH 1988*
0812 ENGINEERING CONSULTANT	DOF /GRZ						INTERCONSULT
0815 FISH CULTURE CONSULTANT	NORA/						UNIVERSITY OF STIRLING ANNUAL VISITS
1901 OPEN PROJECT ACCOUNT	DOF /PS						*OPENED JUNE 1988
1902 OPEN INCOME AND EXPENSES ACCOUNT	DOF /PS						PERMISSION FROM MINISTRY OF FINANCE
1920 ANNUAL BUDGET	DOF /						AGREED UPON AT ANNUAL SECTOR MEETING*
1930 REPORT FROM DEP OF FISHERIES	DOF /						QUARTERLY. RECEIVED MONTHLY SINCE MID 87*
1940 ACCOUNTS FROM GRZ	/						SEMI ANNUALLY ACCORDIN TO SECTOR AGREEMENT
1950 ACCOUNTS FROM NORAD	TL /						QUARTERLY SENT SEPTEMBER 1989*

## Annex 16

## ZAM 007 - LOGICAL FRAMEWORK MATRIX FOR TOWNSHIP WATER SUPPLY DEVELOPMENT

MAY 1989/AJ

SUMMARY	INDICATORS	ASSUMPTIONS
DEVELOPMENT OBJECTIVE		
1. Improved health and welfare conditions for the township population of Western Province.	1. Reduction in water borne diseases in the township communities. 2. Effective inter-sectoral cooperation as regards water/sanitation/health issues.	1. That provision of adequate water and sanitation services leads to improved health and welfare conditions. 2. That there will be no serious deterioration of other health factors (e.g. nutrition, medical services, etc.)
IMMEDIATE OBJECTIVES		
1. Effective and sustained utilisation of water supply and sanitation systems in the townships in Western Province.	1. Water supply plants in operation 95% of the time. 2. Leakage and wastage reduced from about 60% to 15% within 1990 and kept below 20% in the future. 3. PWE able to execute a certain level of design, construction and expansion work effectively within given allocations. 4. Min. 95% of billed water revenues collected. Min 95% of installed water meters in function at any one time. 5. WASHE and local water committees actively promoting water conservation and sanitation issues in the townships.	Financial: 1. Funds will be available for operation and maintenance of the facilities, either from revenues or from GRZ allocations. 2. The built-up DWA structure will be affordable to GRZ. 3. The water supply will be affordable to the consumers. GRZ policy: 4. That GRZ maintains revenue policy and tariff structure which allows satisfactory recurrent funds for O&M of water supply facilities. 5. That GRZ will give priority to PM as regards required number and quality of staff and satisfactory facilities. Mongu Council: 6. That Mongu City Council will take required action to: - establish an effective O&M organisation for Mongu and Limulung - raise water tariffs and enforce effective revenue collection
OUTPUTS		
Quantitative: 1. All township supplies completed to 1995-2000 capacity by the end of 1989.		
Qualitative: 2. Self-sufficient DWA and Mongu Council organisations capable of effective technical and administrative management of w/s systems.		
3. Functioning WASHE committee structure at provincial and district level.		
4. Good quality installations that will ensure continued clean and safe water.		
Behavioural: 5. CEP work has made people organise and execute water conservation measures and improve hygienic behaviour.		
ACTIVITIES		
1. Operation and maintenance		
2. Revenue collection.		
3. Training/Human Resources Development		
4. Improvement of O&M methods and procedures		
5. Community Education and Participation (CEP) activities.		
INPUTS		
1. DWA manpower and funds		
2. NORAD grant funds and expert/consulting services.		
3. DWA and NORAD support/supervision/policy decisions, etc.		



# Annex 17.

WED, FEB 21, 1990

CORPORATE MEMORY / MEMOIRE CORPORATIVE

(SUMMARY)

## PROJECT SUMMARY / SOMMAIRE DE PROJET

PROJECT #	: 0010622	LOCATION	: Kuala Besut
TITLE	: KUALA BESUT FISHERIES DEV.	APPROVAL DATE	: 1979-10-01
COUNTRY	: MALAYSIA (600)	TERMINATION DATE	: 1985-12-01
SECTOR	: SERVICES TO THE FISHERIES SECTOR (0406)	STAGE	: CLOSED
RELATED PROJ. :		TYPE	: BILATERAL

## DESCRIPTION

**RATIONALE:** The Departments of Fisheries in four of the Asean countries (Singapore excepted) place a high priority on the improvement of the socio-economic conditions of the large number of small-scale fishermen and have requested Canada's support in this sector. The project is not expected to yield a financial return by itself, but rather will establish models and methodology to allow governments, development banks, credit institutions and donors to make sound investments in the fisheries sector. These models will maximize intra-regional transfer of technology for the development of fisheries.

**GOAL :** To assist in the rational management of Malaysian fisheries resources.

**PURPOSE :** To help improve the socio-economic condition of Besut District small scale fishermen.

**CANADA'S :** CIDA provided a grant contribution to finance technical assistance, training, and equipment.

**ROLE**

## FINANCIAL INFORMATION (\$)

## CANADIAN EXECUTING AGENCY(IES) :

PLANNED BUDGET : \$ 1,694,000  
CURRENT BUDGET : \$ 1,727,548  
CIDA DISBURSEMENTS : \$ 1,960,400  
UNTIED :  
RECIPIENT CONTRIB. : \$ 896,500

## CANADIAN SUPPLIER(S) :

OTHER AGENCY(IES) : - Food and Agricultural Organization (FAO)

LOCAL AGENCY(IES) : - Ministry of Agriculture

## \* MECHANISM \*

## \* PROJECT CHARACTERISTICS \*

	GEOGRAPHIC FOCUS	HUMAN FOCUS	SPECIAL ISSUES	FINANCIAL ISSUES
GRANT	RURAL	FISHING COMMUNITIES	EMPLOYMENT & INCOME TECHNOLOGY BASIC HUMAN NEEDS FOOD SECURITY	COMMERCIAL INTERESTS

WED, FEB 21, 1990

C O R P O R A T E M E M O R Y / M E M O I R E C O R P O R A T I V E

[LOGfmrpr]

LOGICAL FRAMEWORK DESCRIPTION / DESCRIPTION DU CADRE LOGIQUE

PROJECT No. : 0010622	COUNTRY : MALAYSIA (600)
TITLE : KUALA BESUT FISHERIES DEV.	SECTOR : SERVICES TO THE FISHERIES SECTOR (0406)
APPROVAL DATE : 1979-10-01	STAGE : CLOSED
PLANNED BUDGET : \$ 1,694,000	DISB. TO DATE : 1,960,400
RECIP. CONTRIB.: \$ 896,500	

===== ( PLANNED ) ===== O V I ===== ( ACHIEVED ) =====

GOAL

- |  |   |  |
|--|---|--|
| - To assist in the rational management of Malaysian fisheries resources. | - Fishery resources managed and developed in accordance with national needs; increased exports; ability to meet domestic needs. | - The goal to assist in the rational management of Malaysian fisheries resources was achieved. Improved management and development of fishery resources; Increased production. |
|--|---|--|

Source: PAM, 1985/04; LFA

Source: EOPR 1988

PURPOSE

- |   |  |  |
|---|--|--|
| - To help improve the socio-economic condition of Besut District small scale fishermen. | - Modernization of fishing techniques; assistance with credit, marketing, handling, and processing, to small-scale fishermen in town of Kuala Besut. | - The plan to assist in improving the socio-economic condition of Besut District fishing villages was successful. Improved fishing technologies, strengthened marketing and credit facilities, commencement of cage and pond culture, and development of related infrastructure and human resources. |
|---|--|--|

Source: LFA; Memo to the Minister, 1979/04

Source: EOPR 1988

OUTPUTS

- |                                 |  |  |
|---------------------------------|--|--|
| - Improved credit arrangements. | - True interest rate to borrowers reduced; credit available to larger class of persons; credit counseling services; reduction of time lapse between loan application and provision of credit.                                  | - Socio-economic and baseline studies. Studies provided important profiles of fishing and no-fishing households; this was essential data for the development of fish-marketing and credit systems. |
| - Trained counterparts.         | - 10 persons trained in accounting management/operations of credit union; 10 village boat builders, naval architect trained; 2 officers trained in fish processing techniques; officer trained in infrastructure requirements. | - Marine fishing technologies. 13 marine fishing gears, devices and technologies introduced to local fishermen on their own vessels, the adoption of which resulted in improved                    |

WED, FEB 21, 1990

CORPORATE MEMORY / MEMOIRE CORPORATIVE

[LOGfmrp]

LOGICAL FRAMEWORK DESCRIPTION / DESCRIPTION DU CADRE LOGIQUE

- Completed evaluations.

: Two evaluation studies completed and submitted to CIDA.

catches.

- Training and demonstration.  
Operationalization of a viable Fish Processing training and demonstration centre.
- Aquaculture complex.  
Development and enhancement of an aquaculture complex: commissioning of a fish hatchery producing seed, fry and fingerling starter stock for distribution to local cage and pond fish-farmers; establishment of cage and pond culture operations in local villages.
- Artificial reef.  
Construction of an artificial reef.
- Human resource development.  
Developed through training, extension and study tours to meet technical and management needs.

Source: LFA

Source: EOPR 1988

[PLANNED]

INPUTS	\$ AMOUNT	QNT.	UNI
- Non-specified disbursement of funds.	1,694,000		
TOTAL BUDGET :	1,694,000		

Source: Memo to the Minister, 1979/04

[ACHIEVED]

INPUTS	\$ AMOUNT	QNT.	UNI
- Funds used for professional services, travel, operations, equipment, training and supplies and materials.	1,960,400		
TOTAL DISBURSEMENT :	1,960,400		

Source: EOPR 1988

WED, FEB 21, 1990

CORPORATE MEMORY / MEMOIRE CORPORATIVE

[sumTHMpr]

LESSONS LEARNED / LECONS RETENUES

REFERENCE / SOURCE

It is recommended that the government establishes an advisory group to monitor the effects of technology introduced by project staff.

PROJ #: 0010622  
PTITLE: KUALA BESUT ARTISANAL  
FISHERIES PROJECT  
(1979-1986)  
TYPE :  
DATE : 1985  
PAGE :

In light of the experience gained by the project with a change of counterpart agency, it is recommended that if such changes occur in future projects, the logistical matters, including all inputs, receive priority attention by the government.

PROJ #: 0010622  
PTITLE: KUALA BESUT ARTISANAL  
FISHERIES PROJECT  
(1979-1986)  
TYPE : MID-TERM EVALUATION  
DATE : 1985  
PAGE :

If government input is desired in the marketing of fresh fish, then it is recommended this be in the form of managing - in the fullest sense of the term - the fish landing complexes throughout the country. If not, the government should hand all complexes over to industry and cease all subsidization.

PROJ #: 0010622  
PTITLE: KUALA BESUT ARTISANAL  
FISHERIES PROJECT  
(1979-1986)  
TYPE : MID-TERM EVALUATION  
DATE : 1985  
PAGE :

Extension services are a vital linkage between the government and small producers in projects involving technology transfer. Project counterparts who work closely with their advisors, who are exposed to training in relevant disciplines, and who spend time with small producers as part of their learning process, are best prepared to communicate with producers and can be effective agents of change in rural society.

PROJ #: 0010622  
PTITLE: KUALA BESUT ARTISANAL  
FISHERIES PROJECT  
(1979-1986)  
TYPE : MID-TERM EVALUATION  
DATE : 1985  
PAGE :

To avoid haphazard implementation, a clear directive, including lines of demarcation, should be given to the agency charged to implement the technical recommendations of the evaluation.

PROJ #: 0010622  
PTITLE: KUALA BESUT ARTISANAL  
FISHERIES PROJECT  
(1979-1986)  
TYPE : MID-TERM EVALUATION  
DATE : 1985  
PAGE :

SEMI-ANNUAL PROGRAMME/PROJECT REPORT  
=====1. PROJECT DESCRIPTION AND GLOBAL ASSESSMENT (to be completed by Delegation)1.1. Project description

Project identification Nr : .....

Country : ..... Accounting Nr. : .....

Project title\* : .....

Financing Agreement Nr. .... signed on .....

Total project cost : ..... (ECU) EEC contribution : .....

Other co-financing agencies : .....

Reporting period (dates) from ..... to ..... Nr. of report : .....

Date of report : ..... established by (name of adviser) ..... Initial:....

Major current project objectives :

1.2. Global assessment relative to viability (sustainability)

The project has grave viability problems and is in danger of failing.  
Action is required to save, reorientate or terminate the project.

The project has serious viability problems that can be overcome,  
but require assistance or corrective action.

Project progress towards viability is satisfactory

R

Red

Y

Yellow

G

Green

1.3. Delegate's comments and proposal for immediate and future action\*\*

Name and signature of Delegate : .....

2. COMMENTS/ACTIONS INITIATED (to be completed by desk officer, in consultation with technical and other services concerned)2.1. Comments :2.2. Actions initiated :

2.3. Name and signature of desk officer: ..... date : .....

\* i.e. "programme", "programme component" or "project"

\*\* See sections A and B on reverse



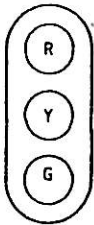
4. VIABILITY (SUSTAINABILITY)

- a) Situation as intended during or after project completion
- b) Progress achieved to-date

4.1. Policy environment

(e.g. high degree, or not, of government priority; active or insufficient project support by government during and after project implementation; policy measures necessary or to be taken according to dialogue : compliance with special conditions; donor coordination; etc...)

a)

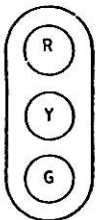


b)

4.2. Natural environment

(e.g. the extent to which the protection and improvement of the environment and the rational utilisation of natural resources have been integrated, from the outset, in the preparation and execution of the project with a view to avoiding negative impacts and promoting positive impacts; legislative and administrative requirements to be respected; incentives to be provided; etc...)

a)

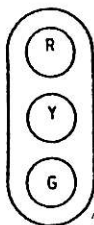


b)

4.3. Socio-cultural acceptability

(e.g. compatibility with traditional local values; incentives to be provided for full participation of local communities and for full use of facilities; role and status of women to be incorporated into the project cycle; etc...)

a)

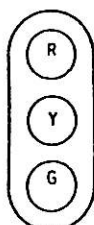


b)

4.4. Appropriateness of technology

(e.g. optimal choice, or not, with respect to cost of maintenance, spare parts availability, individual skills, institutional capacity; technology acceptance and adaptation to changing circumstances; etc...)

a)

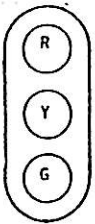


b)

4.5. Management and organisational capacity

(e.g. adequate managerial capacity to be developed; institutional absorptive capacity to be adapted to needs, f. ex. by training staff, incentive systems, information, monitoring, logistics and maintenance systems; T.A. to be replaced; etc...)

a)

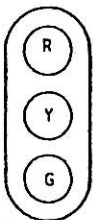


b)

4.6. Financial/Economic soundness

(e.g. recurrent costs : operations, maintenance, depreciation, to be covered; dependence on public funds to be limited; growing financial contribution of local communities and of the private sector; necessary national financing to be phased in; profitability, availability of foreign exchange, marketing; etc...)

a)

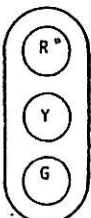


b)

4.7. Uncontrollable factors

(e.g. political instability, civil disturbances; natural disasters; falling world market prices; overall resilience of project and/or continuing donor involvement in such cases; etc...)

a)

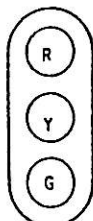


b)

4.8. Other indicators

(specify other indicators you consider important)

a)



b)

Resident Representative Report on the Basis of Post-project Monitoring

"

Title and number of completed project  
Project duration  
Completion date  
Executing agency  
Primary function and secondary function

Total cost of project (including Government inputs) and total UNDP contribution

Status of achievement of development objective to which the project was related

Extent to which project results have been or are being utilized effectively

Factors facilitating or impeding effective utilization of project results

Steps the Government is undertaking to utilize project results effectively, including steps to overcome any factors that are impeding effective utilization

The role UNDP and/or the executing agency concerned could possibly play in helping the Government achieve the development objective to which the completed project was related, and in this context, make effective use of the results of the project

Any further assistance needed in regard to the completed project itself...

Any assistance needed for related activities or projects aimed at overcoming constraints which impede effective utilization of project results

Government interest in obtaining such UNDP assistance."

## Annex 20.

### Box 4.1: Sustainability in Education Projects

An OED study on the sustainability of education projects and their long-term effects is not yet finished but its preliminary conclusions on two education projects, one in Indonesia and one in Sierra Leone, are illustrative. The project in Indonesia has ranked well against most sustainability criteria applied; the main reasons appear to be satisfactory design, implementation, and government policy support. However, financial support for these projects' recurrent costs has been declining and their ability to sustain an adequate level of benefits is eroding.

The project in Sierra Leone has been judged poor from a sustainability standpoint. The maintenance of physical facilities and equipment is poor and deteriorating, and curriculum problems persist, both in the relevance of curricula in use and in the capability of the system to implement changes. The most important endogenous determinants of sustainability are shortcomings in design (e.g., inadequate training of staff, inattention to curricula), and the most important exogenous ones are inadequate post-completion funding and lack of policy support. The lack of funds for recurrent costs has been aggravated by the expansion of subsequent projects in the sector and in other sectors as well.

The study has used the following framework in assessing the sustainability of education projects:

#### A. Indicators

##### 1. Input Indicators

###### Benefits

- Physical facilities
- Teachers
- Materials & equipment

##### 2. Output indicators

###### Benefits

- Enrollment trends
- Graduates
- Administrative services

##### 3. Efficiency indicators

###### Efficiency

- Textbook: student ratios
- Retention & completion rates
- Recurrent cost per student
- Utilization rates

##### 4. Qualitative indicators

- Curriculum relevance
- Project relevance
- Adaptability to changes

##### 5. Spinoff indicators

###### Institutions

#### B. Factors Influencing Sustainability

##### 1. Internal factors

###### Design characteristics

- Appraisal procedures
- Initial funding
- Provision for adequate monitoring

###### Implementation characteristics

- Adequacy of planning & management
- Delays in, e.g., procurement
- Flexibility to changes
- Supply of teachers & students

###### Post-completion characteristics

- Adequacy of recurrent funding
- Adequacy of institutional support

##### 2. External factors

###### Trends in macroeconomic variables

###### Trends in education sector conditions

- Public expenditure on education
- Distribution of public expenditure by source
- Distribution of public expenditure by recipient sector

###### Trends in subsector conditions

###### Policy changes

###### Implementation of further projects

Annex 21.

Box 2.

Indicators of Sustainability

- S1. Installed and Functioning Systems
  - a. Community decisions in installation
  - b. Water quality, quantity at source
  - c. Operation and maintenance
  - d. Cost recovery
- S2. Confident/Competent Individuals (Community and Agency)
  - a. Management abilities, decision-making and execution
  - b. Knowledge and skills
  - c. Confidence/self-concept
- S3. Strong Organization (Community and Agency)
  - a. Autonomy
  - b. Supportive leadership
  - c. Systems for learning and problem-solving
- S4. Environmental Conservation
  - a. water sources protection
  - b. watershed conservation
- S5. Interorganizational Collaboration
  - a. planning
  - b. activities.



ANNEX 22.

Peter Oakley:

The Monitoring and Evaluation of Popular Participation in Development.

Paper to EADI VIth General Conference, Oslo, 27-30, June, 1990.

#### INDICATORS OF PARTICIPATION

An indicator is the means by which the outcome of a project can be understood and, in one form or another, measured or explained. Indicators of a project's outcome, therefore, should accurately reflect the changes which have taken place, they should be able to be identified and monitored or observed, they should be intelligible and unambiguous in the sense that they do not cause confusion and they should not involve costly operations in collection and recording. In terms of relevant indicators of a process of participation, in a general sense, a number of authors have put forward ideas. At the beginning of the debate Harris (1978) suggested that we should identify the 'critical traits' of the process and use them as broad indicators; Lassen (1980) referred to 'vital signs' of participation which should serve as a framework for evaluation; Charlick (1984) proposed that the 'what', 'how' and 'where' of participation should be the basis of its evaluation; finally Rifkin, Muller and Bichmann (1988) have developed a broad continuum of participation from wider to narrow and see these two ends of the continuum as two extreme indicators. All of the above are essentially grappling with an issue in which

currently we have insufficient empirical evidence to substantiate our hypotheses. It is within the context of this statement that suggestions on relevant indicators of a process of participation should be considered. Furthermore, it should be noted that there are no model lists nor authoritative guidelines of indicators of participation.

#### Quantitative Indicators

The literature is stronger on quantitative indicators of participation. Already different sets of lists do exist which provide a framework for the evaluation of participation in quantitative terms. The following is a composite list of quantitative indicators drawn from a number of sources:

- ECONOMIC INDICATORS:
- (a) the measurable economic benefits of a project, by the use of commonly employed quantitative techniques
  - (b) Who is participating in the project's benefits; an analysis of those sections of the rural population who have directly benefited and a quantitative assessment of this benefit on their lives and their future ability to sustain the level of activities

- ORGANIZATIONAL INDICATORS
- (a) % of rural adults within a project area who have some knowledge of the existence of the project organization
  - (b) % of rural adults within a project area who are formal members of the organization
  - (c) Frequency of attendance at project organization meetings
  - (d) changing size of membership over project period

- PARTICIPATION IN PROJECT ACTIVITIES
- (a) number of project groups or associations of project groups formed
  - (b) number and attendance rates at project group meetings

- (c) number of members actively involved in project group meetings
- (d) total person-days of labour contributed by members to project activities
- (e) number of project group members who acquire positions in other formal organizations

DEVELOPMENT MOMENTUM:

- (a) number of project members aware of and in contact with development agencies' services
- (b) number of project members who receive some kind of formal training from the project
- (c) the number of links established with similar project groups
- (d) internal sustainability, or the ability of the project group to maintain its own development momentum

[NB. the above criteria represent aggregate numbers of rural people; by differentiating between different recognizable groups or strata, more detailed information could be obtained].

Few would argue that quantitative indicators alone are adequate to fully evaluate a process of participation; but the use of such quantitative indicators is, however, a good way to start. If nothing else they provide a solid framework for at least understanding one dimension of the process. It is not enough, however, to merely aggregate the economic returns from a project, divide by the number of participants and pronounce a global index of participation; more critical will be who participates and the relationship between the aggregate figures and different project groups. Similarly, whilst the strong relationship between organization and participation inevitably leads to organizational indicators, participation in organizations is not a static or one-dimensional activity. But the commonest indicators currently used are those related to participation in project activities, and thus practice is a reflection of the economic pressures to 'cost' participation

and to relate those costs to expected benefits. In all of this  
→ we can clearly see that there is a major dimension missing;  
this dimension involves the quality of the participation or the  
human and behavioural aspects of the process of participation.

### Qualitative Indicators

The qualitative indicators of a process of participation are directly related to the people involved in a development project, and particularly to the changes which occur, in terms of the nature, growth and behaviour of the project, client or target group as a result of the project activities. Werner (1982) and Feuerstein (1986) both emphasized the relationship between qualitative indicators of participation and behavioural changes in the project group and argued that, although they present difficulties, they could be ignored. The central difficulty is how to select relevant indicators? What particular factors, phenomena or features can we choose which will authentically represent the qualitative process of participation? In an earlier study Oakley and Winder (1981) approached this by comparing the characteristics of a project group, as explained by project staff, before a process of participation with those after a period of time. This exercise identified a number of key indicators and served as a basis for further work by Oakley (1988) in which he suggested three broad areas of qualitative indicators of participation:

- ORGANIZATIONAL GROWTH:
- (a) internal structuring of project group
  - (b) allocation of specific roles to group members
  - (c) emerging leadership structure
  - (d) formalization of group structure
- GROUP BEHAVIOUR:
- (a) changing nature of involvement of project group members
  - (b) emerging sense of collective will and solidarity
  - (c) involvement in group discussions and decisions
  - (d) ability to analyze and explain issues and problems

- GROUP SELF-RELIANCE:
- (a) increasing ability of project group to propose and to consider courses of action
  - (b) group members' knowledge and understanding of government policies and programmes
  - (c) changing relationship of group with project staff/group facilitator
  - (d) formalization of independent identity of the group
  - (e) independent action undertaken by the group

It is, of course, one thing to present a list of indicators as above; the next and more difficult task is to determine how these indicators might be observed and recorded. How, for example, do we observe and make a judgement on "...an emerging sense of collective will and solidarity"? This is a very real problem and to date little research has been carried out at project level to yield any clues. Essentially we need to give some form or substance to these indicators, to relate them to some observable activity within the project so that we can observe them in action. Since qualitative indicators manifest themselves over time, we cannot simply tick them off but we must monitor them accordingly. Monitoring therefore, has emerged as the key to the evaluation of participation and certainly as the only way to ensure a continual supply of relevant data and information.

#### MONITORING INDICATORS OF PARTICIPATION

The evaluation of participation involves careful monitoring, over an extended period of time, and the collection of data and observable phenomena related to both the quantitative and qualitative indicators. In terms of the quantitative indicators, this monitoring presents us with less problems;



#### GROUP CHARACTERISTICS BEFORE AND AFTER A PROCESS OF PARTICIPATION

##### Before

- (a) Individualism: lack of collective action
- (b) Lack of critical analysis and inability to explain causes of problems
- (c) Economic and political dependence on others
- (d) Lack of confidence
- (e) Lack of any form of organization
- (f) Suspicion, isolation and fear of discussion.

##### After

- (a) Group cohesion and sense of solidarity
- (b) Internal group structure and element of self-management
- (c) Increasing ability to critically analyze and discuss
- (d) Collective activities
- (e) Ability to deal with and relate to officials
- (f) Interest in linking with other groups

[Source: Oakley and Winder, 1981]

#### INDICATORS OF COMMUNITY PARTICIPATION

- (i) The existence of already organized community groups.
- (ii) The number of community groups and organizations involved in health promotion before versus after new health promotion activities are introduced.
- (iii) The community's receptivity to and responsibility for solving or preventing its own health problems.
- (iv) The number of existing community-based health activities and projects before versus after contact with the formal health system.
- (v) Demonstrated willingness to commit community human, material and financial resources to support a CHW who would provide services specifically for that community.
- (vi) An increase or decrease in the extent of coverage of health services.

[Source: Rice and Boylan, undated:7-8]

indeed it could be argued that these indicators present us with the first level of participation and that projects could begin this complex task with them. The qualitative indicators, on the other hand, are much more problematic. In the first instance we need to identify a series of phenomena which will illustrate the qualitative indicators. Although we might accept, for example, that an "...emerging sense of collective will" would be an indicator that the project was beginning to build up a base from which people could participate, how could we identify and observe this. It is not like a plant whose growth we could easily observe; it is an intangible process which could be observed by means of key phenomena which will characterize the process. For example, if we were to observe over time the internal structuring of a project group, we might note certain phenomena in relation to the group which might

illustrate whether "...an emerging sense of collective will" was developing.

Since we have already suggested the evaluation of the qualitative process of participation would be based on description and analysis, we will need to monitor and to observe and record, on a regular and continual basis, this qualitative process unfolding. To do this we will need to structure our observing and recording around a series of pre-determined aspects of the project. In this respect Oakley (1968) has suggested four aspects of a project which, if monitored continually, should provide us with relevant information and data for both quantitative and qualitative indicators:

- |  |   |
|--|---|
| PROJECT OR GROUP:<br>ACTIVITIES        | (a) economic or other production activities<br>(b) physical or construction work<br>(c) collective project group work<br>(d) project group internal structuring   |
| CHANGES IN PROJECT:<br>GROUP BEHAVIOUR | (a) nature of project group meetings<br>(b) levels of explanation and discussion<br>(c) people's involvement in project group discussions<br>(d) incidence of consensus and disagreement<br>(e) emerging patterns of leadership |
| GROUP ACTION AND:<br>ARTICULATION      | (a) independent action by project group<br>(b) <u>levels and nature of contact with outside officials</u><br>(c) <u>levels and nature of contact with other project groups or organizations</u>                                 |
| PROJECT-GROUP :<br>RELATIONSHIP        | (a) nature of initial relationship<br>(b) building up of the project group<br>(c) nature of changes in relationship between project and group<br>(d) <u>project withdrawal</u>  |

The above four aspects are not presented sequentially, nor that they should all be monitored simultaneously. Furthermore not all might be relevant to the project being monitored. The above constitute a framework and an indication to projects of the nature of the tasks involved. The two common steps in the process, however, which will be applicable to all projects, are:

- the identification of the indicators to be used to reflect the process of participation being monitored
- the determining of the broad aspects of the project which will be monitored.

? | This exercise must be particular to each individual project since there are few universal truths in a process of participation. The above are one way of sketching out this exercise and is meant to serve as an example in the individual exercises which will need to be done for each project.

The range of examples presented are meant to serve as a resource in determining how best a process of participation might be evaluated in a particular project. The examples are not presented as universally applicable models, but more as food for thought in a difficult conceptual and practical task. All of the examples concentrate upon the central issue of indicators and are quite different in the way in which they seek to value or rank order these indicators. Finsterbusch and Van Wincklin (1987) and Shrimpton (1989) add numerical value to this ranking. Rifkin et al (1988) employ the same approach but are able diagrammatically to evaluate performance of the indicators in a relative manner. All the examples concentrate upon identifying the indicators and evaluating their performance; the next important task is how these indicators might be evaluated and the information and data gathered and interpreted.

#### THE COLLECTION OF INFORMATION AND DATA

The next stage is to consider how we might collect information and data based on the above broad framework for the evaluation of participation. In this respect we shall concentrate upon the qualitative aspects of participation; there are already ample guides on methods for the collection of quantitative data on project performance. The qualitative aspects of participation present us with the much more difficult task of information and data collection. As we have seen, the approach to qualitative evaluation is one of

ANNEX 23.

Box 3.	<u>Indicators of Replicability</u>	<u>Stages</u>
R1	Proportion and role of specialized personnel	<u>Stages</u>
	a. High input of specialized personnel	Pilot
	b. Mostly regular staff, decline in specialists	Demonstration
	c. Existing staff, further decline in specialists	Replication
R2	Established Institutional Framework	
	a. Semi-autonomous organization	Pilot
	b. Decreased by-passing of existing organization and collaboration with other agencies	Demonstration
	c. No by-passing of existing organization and increased inter-agency collaboration	Replication
R3	Budget size and sheltering	
	a. Generous and sheltered	Pilot
	b. Medium and partially sheltered	Demonstration
	c. Average and regular budget item	Replication
R4	Simple documented administrative/implementation procedures	
	a. General guidelines for activities and strategies, emphasis on interactive planning and implementation	Pilot
	b. Emergence of standardized procedures for interactive project/programme management including monitoring/evaluation criteria and procedures	Demonstration
	c. Documented simplified procedures	Replication
R5	Other special/unique conditions	

## ANNEX 24.

### INDICATOR FORMAT

NO./CODE : LRE-1.12.2 / ...

TYPE OF PROGRAMME : Regional Rural Development Programme

TYPE OF PARAMETER : Goal

### PARAMETER

The health situation of the target population has improved.

### INDICATOR

The occurrence of poverty-induced diseases among infants and young children under the age of 5, registered at basic health services in programme area, is decreasing:

Date	:	1989	1990	1991	1992
----- e.g.-----	:	-----	-----	-----	-----
Cases	:	2000	1800	1600	1400

### RATIONALE OF INDICATOR :

From a nutritional point of view, children are a particularly vulnerable section of the target population. Certain diseases, such as diarrhoea or the other diseases mentioned below, are especially a reflection of food deficit of the most severely affected children. Therefore, the occurrence of these diseases may serve as an indirect indicator of the nutritional state of these particularly vulnerable age groups. As the children of target population households are especially endangered by poverty-induced diseases, it is not necessary to differentiate between the frequency of diseases in only these households as against non-target population households.

### EXPLANATIONS FOR FORMULATING

#### - QUALITATIVE DIMENSIONS :

Poverty-induced diseases: diarrhoea, kwashiorkor, respiratory infections such as influenza and pneumonia.

For the sake of simplicity, no distinction is made between the frequency of diseases of infants (under the age of 1) and that of young children (up to the age of 5).

#### - QUANTITATIVE TARGETS :

Since many of the disease occurrences are not reported to the health services, only absolute figures should be used taking expected population growth rates into account. As the indicator refers to a whole region, preferably the programme area, no highly significant quantitative improvements may be expected within a short period of time. If there is reason enough for planners to assume that sex-specific differences can be influenced by programme measures, the target figures can also be determined separately for girls and boys.

### VALIDITY :

The indicator is valid without substantial restrictions but implies special problems as far as the identification of the programme contribution to results achieved is concerned. This makes collection of control data in other (neighbouring) areas absolutely necessary. One should also check whether the acceptance and the quality of basic health services have changed significantly thus falsifying the result.

### COST OF VERIFICATION :

low/medium.



INSTRUCTIONS FOR DATA COLLECTION :

DATA REQUIRED	:	Registered cases of diseases of infants and children under the age of 5 in the programme area.
DATA SOURCES	:	SECONDARY SOURCES Statistics of medical treatments at local health services.
DATA COLLECTION	:	Collection of data from health services; if necessary, suggest a more systematic compilation of data and the formation of new area references for data aggregation.
CONTROL OF DATA QUALITY	:	Rough calculation/own estimate; if available, prefer data from local public health authorities.
DATA PROCESSING	:	Calculation of quotient of raw data; often previously calculated by local public health authorities.
INPUTS REQUIRED	:	3 days for compilation of figures; in case of necessity to collect basic data from local administrations, approx. 10 days per year.
IDENTIFICATION OF PROGRAMME TRIBUTION	:	Additional input for comparative control survey in neighbouring region with similar structures, approx. 10 days every 2nd year.

INDICATOR FORMAT NO./CODE : LRE-3.14.1 / ...  
TYPE OF PROJECT : Regional Rural Development  
TYPE OF PARAMETER : Output

PARAMETER A village-data management/information system for the programme area has been introduced and is functioning.

INDICATOR A village-data management/information system which contains information with regard to population figures, agricultural and non-agricultural production, educational and health situation/facilities and name and function of key persons is available for an increasing number of/all villages of the programme area:

Date	:	1989	1990	1991	1992
----- e.g. -----					
Villages	:	80	160	200	200
in % of total	:	40%	80%	100%	100%

#### RATIONALE OF INDICATOR :

The regional rural development approach depends heavily on the availability of detailed information on a specific region, i.e. the programme area. The data management system is intended to make data items relevant to programme implementation available to the sub-sections who need specific information. The broader the area coverage, the better is the system. Its functioning is best indicated by how its usefulness is judged by the implementing sub-sectors.

#### EXPLANATIONS FOR FORMULATING

##### - QUALITATIVE DIMENSIONS :

A data management/information system is a formal way of collecting, storing, processing and providing access to wide a range of information on a specific region or topic.

In the above example, it is more precisely specified that it should contain information on population figures, agricultural and non-agricultural production, educational and health situation/facilities and name and function of key persons. This list, however, has to be adjusted to the specific programme needs.

##### - QUANTITATIVE TARGETS :

In order to be operational the quantitative target regarding the number of villages to be included should fairly soon reach 100% .

#### VALIDITY :

The indicator only shows that such a system has been established. It does not show whether it is functional and being used by the programme's sub-section. It should therefore be supplemented by indicator LRE-3.14.2.

COST OF VERIFICATION : low

INSTRUCTIONS FOR DATA COLLECTION :

DATA REQUIRED	:	Number of villages (data records) included in the village-data management/information system .
DATA SOURCES	:	SECONDARY SOURCES Records of the section responsible for the establishment and maintenance of the data management system.
DATA COLLECTION	:	- negligible -
CONTROL OF DATA QUALITY	:	- internal control only-
DATA PROCESSING	:	Compute percentage.
INPUTS REQUIRED	:	- negligible -
IDENTIFICATION OF PROGRAMME CONTRIBUTION	:	- not required -

Annex 25.

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Bibliographical notes on the specific Project Documents are to be found under the Annexes of the individual projects, see 'major document



Terms of Reference for the Development  
of Indicators for Monitoring Development  
Assistance Projects.

### 1. Background.

The objectives of the development assistance projects have during the later years become more complex and longterm. The Plan of Action of Danida stresses, that a permanent improvement of the economic and social conditions for the poorest segments of the global population has to be achieved by a longterm, sustained, targetted and efficient effort, aiming at supporting the mobilization of resources by the countries concerned themselves, that a development, which also in the long run is both financially and ecologically sustainable, has to be aimed at, and that the gender aspects are to be secured a central place, while the regard for the human rights is to be promoted.

The efforts to achieve these objectives and raise the quality of the development assistance have been centred around improving the preparation of the projects and a better functioning of the evaluation, while little attention has been paid to the functioning of the monitoring, its timing, content and operational implementation. A need is thus identified to develop the monitoring conceptually and as a managerial tool, including the clarification of indicators for a number of the most important objectives of the development assistance.

In light of this, the experiences gained from other donors and the monitoring of large, complex assistance projects by special local monitoring and evaluation units, it is described below, how such a development task is planned to be implemented.

### 2. Objectives.

It is in general the aim,

- . to develop the monitoring of the assistance effort qualitatively, in particular in view to achieve the longterm objectives to a higher degree,
- . to improve the monitoring as a flexible and dynamic managerial tool both for the administration of the Danida efforts, and to increase the capacity of the receiving countries.

Especially, it is the aim,

- . to develop approaches and indicators for monitoring the objectives of achieving financial and ecological sustainability, of supporting the mobilization by the countries themselves of the resources and popular participation, and of increasing the replicability of the assistance efforts,
- . to compare approaches and methods of the Danida with procedures of other donor agencies (e.g. SIDA, GTZ and EEC), and within different sectors (e.g. agriculture, health, nutrition and hygiene, and roadbuilding),
- . to study, how the monitoring tools have been utilized to give feed-back to the administrations of the receiving countries and the donors, during implementation of the projects, and maybe afterwards to identify the longterm impacts.

### 3. Specific Tasks.

The development of the monitoring is planned to be implemented in 2 stages: a desk-study based upon existing material in the Danida administration and other donor agencies, followed by a field-collection of data from a limited number of areas and projects aiming at specific experiments, if feasible.

Annex 26.

Institutions Visited and Person Met.

Overseas Development Agency, London

Overseas Development Institute, London

Institute of Development Studies, Brighton

University of Reading, Reading

University College, Wye

NORAD, Oslo

SIDA, Stockholm

John C. Morris, ODA

Dr. Mary Tiffen, ODI

Dr. Basil E. Cracknell

Dr. Peter Oakley, AERDC, Reading

Michael Redclift, Wye College

Jarle Hårstad, NORAD

Inger Stoll, NORAD

Åke Rønningen, Scanteam

Stefan Dahlgren, SIDA

Danida: Kristian Laurbjerg  
Anders Serup Rasmussen  
Kurt Mørch Jensen  
Paul Erik Schmidt  
Niels Dabelstein

1. Desk-study:

- . review of literature on methods, approaches and indicators of sustainable development, popular participation and replicability, produced e.g. by DAC, EEC, GTZ, IBRD.
- . visits and interviews with resourcepersons in donoragencies like Danida, GTZ, EEC, SIDA, etc.
- . review of summaries of cases of evaluations in view to analyse the application of monitoring and indicators within the fields mentioned,
- . identify the use of indicators of sustainability, popular participation and replicability in relation to activities of agriculture, health, nutrition and hygiene, and roadbuilding, from the review of documents and files of a number of relevant cases (e.g. appraisal, plan of operation, evaluation, etc.),
- . analyse advantages and disadvantages of the application of the mentioned indicators, and recommend improvements, if any,
- . recommend specific projects and geographical areas for further field-study from the review of relevant projects,
- . outline the field-study (stage 2), including draft proposal for the experiments of application of indicators.

2. Field-study:

- . study of the field application of the present indicators in a limited number of cases,
- . describe and analyse the field application by other donors of indicators within the areas of sustainability, popular participation and replicability,
- . implement specific experiments of the application of the developed indicators, if possible.

4. Expected Output.

Stage 1 will be concluded with a draft report to be presented at a workshop for the Danida consultants and administrators. The workshop will be guiding for stage 2, the field-study.

After completing the field-study, feed-back to the Danida administration, other interested donoragencies and relevant organizations and authorities in the receiving countries will be given as per arrangement.

5. Schedule.

Stage 1 is scheduled for July 1990 - January 1991, aiming at the workshop to be held in January, 1991. Stage 2 is planned to be implemented during February- June, 1991, including fieldwork of 4 weeks duration.

6. Implementation

The development task will be carried out by Senior Lecturer, Henrik A. Nielsen, Department of Development and Planning, University of Aalborg, former Monitoring & Evaluation Adviser, Danida, NRDP-II. It is combined with a researchproject on the Monitoring of the Development Process, supported by the Danish Council for Development Research.

